

REQUEST FOR PROPOSALS

**MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)
FINANCIAL INFORMATION SYSTEM (FIS) AND INTEGRATED HUMAN
RESOURCES MANAGEMENT SYSTEM (HRMS)**



August 15, 2012

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PUBLIC NOTICE
REQUEST FOR PROPOSALS
CONSULTANT SERVICES FOR

Financial Information System (FIS) AND Human Resource Management System (HRMS)

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants or individuals capable of providing professional services in the areas of Enterprise Resource Planning (ERP) System. The ERP System should include Financial System (FIS) and Human Resource Management System (HRMS) to provide a comprehensive Financial Information System and Human Resource solution for MAG.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or may be downloaded from www.azmag.gov, under "RFPs and RFQs" For further information, please submit questions in writing by e-mail to rkimbrough@azmag.gov titled "Financial Information System" not later than eight (8) working days prior to the closing date of Monday, September 10, 2012. Any addenda responding to questions will be posted on MAG's website at www.azmag.gov under "RFPs and RFQs" not later than five (5) working days prior to the closing date of Monday, September 10, 2012.

Proposals will be accepted until 12:00 PM MST (Mountain Standard Time) on Monday, September 10, 2012 at MAG, 302 North First Avenue, Suite 300, Phoenix, AZ 85003. MAG's business hours are 8:00 AM to 5:00 PM, MST, Monday through Friday.

SCOPE OF SERVICES

Introduction

The Maricopa Association of Governments (MAG) is issuing a Request for Proposals to qualified firms to provide an Enterprise Resource Planning (ERP) System for Financial Information System (FIS) and Human Resource Management System (HRMS) at MAG.

The Maricopa Association of Governments invites all qualified vendors to participate in the process. Driven by the demands of regionalization, a growing population base, and recurring audits, MAG recognizes the need to select an FIS that includes General Ledger, Accounts Payable, Billing, Timesheet tracking, Project Control and Accounting, Grant Management, Payroll, Cash Management, Accounts Receivable and Human Resources Management System (HRMS) to manage and plan the use of its resources.

The purpose of this RFP is to identify those vendors that will match MAG's unique FIS needs with little to no customization or system workarounds. Questions are formed with the intent to understand whether your solution can address not only the required general functionality, but also the distinct needs of MAG's Financial Information Systems and Human Resources needs. All systems will be considered within a range of \$150,000 to \$600,000 depending on the requirements met by the system.

DBE GOAL/COMMITMENT AND DOCUMENTATION:

This contract has no established DBE goal therefore, no DBE is required. The consultant is encouraged to obtain DBE participation.

Appendix G and H are included for informative purposes. Appendix H and I do not need to be completed for this RFP.

Background

MAG is the designated Metropolitan Planning Organization (MPO) for transportation planning for the metropolitan Phoenix area. MAG is also the designated Air Quality Planning Agency for the region. MAG is charged with developing regional policies and plans in areas such as transportation, air quality, water quality, solid waste, and human services. We are also the distributing agency for millions of dollars in federal funds for many important transportation, environmental, and human services programs.

The MAG membership consists of the twenty-five (25) incorporated cities and towns within Maricopa County and the contiguous urbanized area, the Gila River Indian Community, the Salt River Pima-Maricopa Indian Community, Fort McDowell Yavapai Nation, Maricopa County, the Arizona Department of Transportation (ADOT), and the Citizens Transportation Oversight Committee (CTOC). ADOT and CTOC serve as ex-officio members for transportation-related issues.

MAG provides a regional planning and decision making framework for local elected officials, and is governed by a Regional Council composed of one elected official from each member government. Key programs include planning for highways, roadways, transit, human services, population forecasting, air quality and water quality.

MAG currently uses a Financial Information System (FIS) combined with spreadsheets to perform modified accrual accounting, grant billing and other reporting with a fiscal year ending June 30. The Human Resource Management System is currently performed manually at MAG using spreadsheets and calendaring and custom fields added to the automated accounting system payroll screens. The annual budget for MAG is approximately \$25 million. Much of the funding comes from Federal grants that must be tracked separately. MAG prepares and files an indirect cost plan each year with its cognizant agency.

There are approximately 15 (fifteen) to 30 (thirty) Federal, State and Local grants that are active at any given time, each with a balance sheet. Almost all of the funding received by MAG is on a cost reimbursement basis. Billings at MAG are generally performed monthly and require that each grant and each associated project funded by the grant, be reconciled and balanced to the overall grant award. Projects as well as the activities within the project must also be reconciled and balanced. Each project may be funded by one or more grants. MAG requires an annual financial and compliance audit.

MAG requires that its bi-weekly payroll be processed and post in the FIS in order to provide raw labor costs and labor rate markup costs. Payroll must be integrated with the billing system in order to process invoices within the FIS.

MAG currently has two blended component units including the Maricopa Association of Government Information Center (MAGIC) and the Regional Community Partners (RCP). Both component units are incorporated as 501(C)(3) corporations; and, both of the component units' boards are wholly comprised of MAG's board. The component units utilize a fiscal year ending June 30. Accounting and reporting for the blended component units, including 990 tax reporting, are maintained in the same FIS system as MAG but are set up as separate entities accounted for as separate funds with unique fund numbers. The financial information for each blended unit is maintained in a separate fund and rolls up into a consolidated report as well which gives us the ability to easily combine financial information.

MAG has the need to select a new Financial Information System that integrates at a minimum, the following components to serve MAG's financial processing needs: Real-time processing for General Ledger with ability to accrue by accounting date; Financial Reporting; Grants Management and Grant Reporting; Project Accounting including the ability to set up Consultant Contracts; Accounts Payable; Accounts Receivable; Billing with rate mark-up capability; Cash Management; Electronic Timesheets; and Payroll. In addition to the required software, additional software integrated with the required system for the following applications is desired: Human Resources Management System (HRMS), Encumbrance Accounting, and Fixed Asset accounting.

It's expected that there will be about 15 active users of the entire system and 95-110 users of the time sheet system in the first year. There also may be other users who will use the system to print reports or perform queries.

Proposed Schedule

<u>Date</u>	<u>Action</u>
August 15, 2012	Post RFP
August 21, 2012	Pre-Proposer Conference at MAG Offices, Palo Verde Room, 302 North First Avenue., Suite 200, Phoenix, AZ 85003, beginning 1:00 PM (Mountain Standard Time); RSVP if you plan to attend by the end of the day at 5:00 PM (Mountain Standard Time), Monday, August 20 th , 2012. RSVP by email to rkimbrough@azmag.gov with title the response "RSVP: FIS". In the RSVP please include the name of your company and the spokesperson of the company as well as a contact phone number and email, and whether attendance will be in person or by phone. Proposers are encouraged to attend either in-person or by phone by calling (602) 744-5840 then entering the meeting ID #7767.
September 10, 2012	Proposals due by 12:00 PM (MST) at the MAG office 302 North First Avenue., Suite 300, Phoenix, AZ 85003
September 13, 2012	MAG evaluation team, to conduct a review of the proposals. Selected vendors will be contacted

	immediately following the evaluation team meeting and a date and time for the proposal presentation will be set up.
September 19-25, 2012	Proposal presentations at MAG by bidder teams.
October 3, 2012	MAG Management Committee recommends approval of software vendor selection
October 15, 2012	Executive Committee approval of recommendation
October 30, 2012	MAG staff will issue the contract to the selected vendor.
November 2012-January 2013	Install new financial management system and convert existing data (currently using AXIUM PROTRAX vs. A7.3.0 accounting system.)
February, 2013	System installation and testing completed
March-June 2013	Staff Training and test processing; prepare for live processing on July 1, 2013
July 1, 2013 (start of fiscal year 2014)	System running live
October 2013	Consultant converts remaining AXIUM data and balances

The consultant is encouraged to develop a sound analytical approach which achieves the goals for this project. The consultant is urged to be as specific as possible when describing the activities that will be performed to support each task. The consultant is also urged to make maximum use of matrices, tables and drawings in working papers produced for the project to ensure conciseness and clarity and to minimize the amount of text required.

REQUIREMENTS (see Appendix L for detailed requirements document)

Key Requirements

- GASB compliant – fully capable of meeting standard governmental accounting and reporting requirements;
- Windows-Based Application capable of running in MAG's environment, i.e., Windows XP, 32 bit; Windows 7, 64 bit; Windows Server 2008R2; MSSQL Server 2008 with plans for 2008 R2 or 2012 in October 2012; and, Gigabit Ethernet; must be an on premise system. MAG is a Microsoft Technology shop.
- Data Export and Import Capabilities;
- Implementation and two years historical data import to limit downtime and research using transaction history;
- Ability to maintain all existing functionality; this includes a Report Writer application for all modules and includes the ability to put custom fields on reports.
- Ability to add accounts, Program Codes, Task, Funding Sources, etc. easily;

- Must provide ongoing support and maintenance for the first year; must provide projected maintenance costs per year for first five years;
- Enterprise Resource Planning (ERP) System solution required for core accounting. Core accounting modules that must be integrated include Financial Reporting, General Ledger, Payroll, Electronic Timesheets, Accounts Receivable, Accounts Payable, Grant Management, Contracts, Cash Management, Billing and Project Accounting. Prefer integrated software for of all additional modules including Human Resources, Encumbrances and Fixed Assets.
- Any custom modifications that must be made to the software to support the integrated functionality must be explained in detail. Preference will be given to systems that have all integrated functionality out of the box with support.

Functional Requirements

(All modules should be integrated working in a database environment to reduce duplicate entry)

The following accounting software modules and/or functionality is needed:

- **Technical Architectural Requirements**
 - Windows-Based Application capable of running in MAG's environment, i.e., Windows XP, 32 bit; Windows 7, 64 bit; Windows Server 2008R2; MSSQL Server 2008 with plans for 2008 R2 or 2012 in October 2012; and, Gigabit Ethernet; must be an on premise system.
 - Applications and processing only performed on-premise.
- **General Ledger** (approximately 36,000 entries per year including subledger interface; also accounts for approximately 8 funds at the fund level))
- **Financial Reporting** (approximately 8 funds)
- **Accounts Receivable/Cash Receipts** (approximately 1,200 entries per year)
 - billings and for stand-alone cash receipts
 - Cash Receipts Report
- **Accounts Payable/Cash Disbursements** (approximately 3,000 A/P and 2,400 Checks per year)
- **Purchasing/Encumbrance Accounting** (approximately 1,500 encumbrance entries per year)
- **Project Costing and Commitments** (approximately 30,000 project entries per year)
 - Code/Task/Fiscal Year (together these are called a Project)
- **Grants Management** (approximately 25-50 grants per year)
- **Billing module with Cost Allocation** (approximately 15,000 billing entries per year)
 - Ability to setup rate tables
- **Fixed Asset Management** (approximately 500 fixed assets)
- **Budgeting** (must be able to budget by both GL Base Account and Project by Activity Type)
- **Electronic Timekeeping/Timesheets** (approximately 95-105 employees, bi-weekly timesheets with approximately 6 different projects per employee)

- **Commitments/Contracts** (approximately 200 contracts with outside consultants/vendors per year)
- **Payroll** (currently approximately 95-105 employees, bi-weekly and also including transmission to third party processor)
- **Human Resource Management System** (approximately 105 staff and/or intern positions with 3-4 positions unfilled per year, receiving about 100 resumes per position)
- **Historical Conversion of data for prior 2 years**

DESCRIPTION OF CURRENT ENVIRONMENT

- **Current application**-Core financial system-Axium Protrax A7.3.0 with the following active modules:
 - General Ledger
 - Financial Reporting
 - Cash Management
 - Accounts Payable
 - Accounts Receivable
 - Billing
 - Contracts (used for Grant Management)
 - Project Costing
 - Payroll (with additional outsource through PAYCHEX)
 - Time & Attendance (Timetrax)
 - Report Writer
- **GRANT MANAGEMENT.** MAG is approximately 99% grant-funded and is a sub-recipient of federal funds through the Arizona Department of Transportation. The majority of the MAG's grant funding originates from the U.S. Department of Transportation (FHWA and FTA). Therefore, it is critical that the software is capable of handling expenditure-driven grants and related billings that post billing entries against individual grants at a detail level. More specifically, the software accumulates and accounts for the direct and indirect costs for numerous cost centers and projects. Once costs are accumulated, the system is capable of applying multiple project costs against multiple funding sources. Labor is marked up via rate tables which allocate a proportionate share of the fringe benefit and overhead costs (i.e., indirect costs). The accumulated marked-up Project costs are then applied against the applicable grant funding source(s). The software program reflects and reports on Program Code/Task expenses (cost) and amounts billed (marked up costs) against funding sources and total funding source contract amounts by Activity for each fiscal year. It is vital that the new software is capable of performing this essential function or that it is easily and economically modified to accomplish this function.
- **FISCAL YEAR.** MAG's fiscal year runs from July 1 through June 30. The system must run concurrent transactions for at least six (6) accounting periods before the prior period year is closed.
- **PAYROLL.** MAGs current system processes gross payroll in-house using the timesheet entries from an integrated timekeeping system which allows each staff person to enter their time by project number, funding source and activity (activity codes are labor codes for salaried and hourly timesheet entry) for project tracking and billing purposes. When gross payroll is posted, these labor entries post to the billing system by project, funding source and activity. Once the gross payroll entries are billed, the billing system posts work in progress entries against the contracts that are funding these entries. The billing system also posts invoiced work in process entries. MAG has approximately 95-105 staff on payroll and is paid bi-weekly. MAG outsources its actual payroll; the interface between the in-house payroll and the outsourced payroll is automated via a special program written to perform this

interface. The automated interface rolls projects up to a summary level to report gross productive hours and vacation, personal, sick time, etc. to the third party payroll vendor. As described above, MAG runs a parallel payroll in-house in order to post detail payroll entries by project as well as post overhead entries. Project payroll entries post to billing and project control modules in the accounting system. MAG reconciles the in-house gross payroll to the outsourced payroll.

- GENERAL LEDGER, MULTIPLE FUNDS AND FINANCIAL REPORTING. Including all of the sub-ledger interfaces, the General Ledger has approximately 36,000 entries per year. This system has the ability to enter GL budget by base account at the fund and division level. MAG General Ledger has a General Fund, Special Revenue Funds, Debt Service Funds, and a couple of other miscellaneous funds; the General Ledger also handles accounting for two blended component units (set up as funds) in addition to MAG accounting. Financial Reporting including Trial Balance, General Ledger, Balance Sheets, Income Statements, etc. are produced at a consolidated level as well as at the Fund level.
- ACCOUNTS PAYABLE. MAG processes accounts payable checks in-house and produces its 1099's in-house; MAG processes approximately 3,000 accounts payable invoices per year and prints approximately 2,400 A/P checks per year. MAG produces approximately 25 to 50 1099's per year. The Accounts Payable processing is integrated with commitments (contracts with outside vendors and consultants) that MAG has in place with consultants, displaying warnings for overpayments against a commitment and missing insurance information in a commitment prior to making payment.
- BILLING. MAG produces invoices monthly for its grantors. MAG may be awarded 30 grants or more each year including Federal, State and Local grants; a billing invoice must be produced for each grant each month with billing project summary and detail. The monthly billing invoices produced by MAG are based on approximately 14,000 to 15,000 billing entries at MAG per year. The monthly invoices summarize the billing entries by type including Labor, Consultant, Pass-Through, and Direct entries. Rate tables with overhead and fringe rates are used to calculate overhead on Labor type entries and these marked up amounts are included on the grant billing invoices. The majority of invoicing at MAG is done on a cost reimbursement basis and it is critical that MAG have a Grants Module that interfaces with billing at a detail level including grant funds, projects and activities.
- ACCOUNTS RECEIVABLE. MAG processes approximately 1,500 accounts receivable payments each year. Accounts receivable entries process and interface with MAG invoices (must be able to set up and process by a customer data base) and accommodate miscellaneous items billed.
- PROJECT CONTROL AND COMMITMENTS/CONTRACTS. Project control allow project tracking by activity type for actual costs and costs marked up by billing table including Labor, Consultant, Pass-Through and Direct activity. Budget entry is by project account and activity type and provide budget to actual costs by project. MAGs current Project Control database also provides for commitment setup (contracts with outside vendors and consultants) for commitments that MAG has with outside consultants and vendors. The commitments portion has the capability of keeping insurance information and other project-related and miscellaneous information on consultants and vendors. This is integrated with the Accounts Payable system, warnings are displayed in Accounts Payable for overpayments on commitments and the system provides warnings when insurance requirements are missing or outdated. Commitments are set up for a total dollar amount to be paid to consultants and vendors, Accounts Payable payments are posted against the commitments by project, funding source (typically grant fund) and activity.
- CASH MANAGEMENT. MAG reconciles all payments and deposits in its Cash Management system. These entries are posted into Cash Management from the other integrated modules and these entries are posted in General Ledger.
- HUMAN RESOURCES MANAGEMENT. MAG human resources is charged with, among other duties, full cycle recruitment, new hire orientation and on-boarding, benefits administration, work status management, length of service management, leave of absences management, separation

management and personnel records management. To date, the division performs all of these functions manually or with an aid of spreadsheets. The need is to improve the manner in which the Human Resources Division performs its duties through the automation of these functions.

ACCOUNTING HIERARCHY

An example of the accounting hierarchy currently set up in each of the modules is shown below:

DIVISIONS (currently set up)

Division Number	Division Description
100	Environmental Division
200	Public Works
300	Human Services - MAG
400	Human Services – RCP (blended component unit)
500	Program Implementation
600	Transportation
700	MAGIC (blended component unit)
800	Information Services
1000	Executive Administration
1100	Administration- Communications
1200-1600	Administration–Office Services, Communications, Fiscal Services, and Human Resources

GENERAL LEDGER

BASE ACCOUNT NUMBERS	CATEGORIES
1000-1999	Assets
2000-2999	Liabilities
3000-3999	Fund Equity/Balance
4000-4999	Sources of Financial Resources
5000-9999	Uses of Financial Resources

The Chart of Accounts for General Ledger Account Numbers format is currently set up as xxx-xxxx-xxxx and contains certain basic account attributes, including:

FUND NUMBER	DIVISION (see above, 100-200-300-etc.,with revenues, expenditures, some liabilities)	BASE ACCOUNT
XXX	XXXX	XXXX

Sample of current General Ledger Accounts using General Fund (01) and Special Revenue Fund (02):

GL Account Number	Description (General Fund=GF, Special Revenue Fund=SR)
01-0000-1031	GF, cash account
01-0000-1075	GF, due from account
01-0000-2025	GF, accounts payable
01-0000-2221	GF, deferred revenue-dues
01-0100-4032	GF, Environmental division, revenue, special assessment revenue
01-0100-6375	GF, Environmental division, expense payroll
02-0000-1074	SR, Accounts receivable, federal funds
02-0000-2079	SR, Workers Comp, liability
02-0600-4075	SR, Transportation division, local funds revenue
02-0600-6125	SR, Transportation division, consultant expense

Project Accounting (Costs) and Grants: (Project xxx-xxxx-xx, Funding Source xxxx, Activity xxxx)

Project Number (examples)	Funding Source (examples)	Activity (examples)	Associated Grants Module Setup for Funding Projects and funding Source
100-0310-12 (division=100-Environmental-area=0310-air quality modeling;12-FY=2012)	9115(represents prior FY 2011=91, funding source =15 for FHWA STP 2011)	C010 (current year consultant)	2011-1040-15 contract number, (9115 is funding source for this contract) and has projects 100-0310-12 and 600-110-12
100-0310-12 (division=100;Environmental-area=0310-airquality modeling;12-FY=2012)	15 (current FY and funding source =15 for FHWA STP 2012)	C020 (prior year consultant)	2012-1040-15 contract number, (15 is funding source for this contract)
600-0110-12 (division=600 Transportation; area=0110-transportation planning;12-FY=2012)	9215 (prior FY=92 FY 2010, funding source = 15 for FHWA STP 2010)	D015 (outside printing-direct cost)	See contract 2010-1040-15 above, 9215 funds several projects
600-0110-12 (same as above)	5000 (overhead funding account)	A015 (outside printing-overhead cost)	no contract setup for overhead as it is not directly billed. Overhead costs accumulated over fiscal year to determine all overhead costs-used to determine indirect rate adjustment.

PROPOSAL REQUIREMENTS

Project Schedule and Cost

The estimated time frame for this project is eight (8) months from the date of the notice to proceed, with intermediate deliverables due in accordance with the schedule as agreed to between MAG and the consultant(s). The date of the notice to proceed is anticipated to be November 1, 2012.

Proposal Delivery, Opening and Proposer's Conference

1. Six (6) copies of the proposal must be submitted by 12:00 PM (Mountain Standard Time) on Monday, September 10, 2012, to the address listed below. MAG's business hours are 8:00 AM to 5:00 PM, MST, Monday through Friday.

Maricopa Association of Governments
Attention: Rebecca Kimbrough
302 North First Avenue, Suite 300
Phoenix, AZ 85003

Timely receipt of proposals will be determined by the date and time the proposal is received at the above address. Hand delivery is therefore encouraged. No late submissions, facsimile, or electronic submissions will be accepted.

Proposals will be opened publicly and the name of each entity submitting a proposal will be read at 12:10 on Monday, September 10, 2012 at the MAG Offices, Palo Verde Room, 302 North First Avenue, Suite 200, Phoenix, AZ 85003.

All material submitted in response to this solicitation becomes the property of MAG and will not be returned. After contract award, the proposals shall be open for public inspection except to the extent that the withholding of information is permitted or required by law. If the Proposer designates a portion of its proposal as confidential, it shall isolate and identify in writing the confidential portions in accordance with Arizona Administrative Code R2-7-103; which shall be included in the proposal. Upon receipt of your written notification, MAG will review any portions of the proposal that the proposer considers to be confidential, and then make a determination on what should be released. MAG will also notify the Proposer in writing of the determination and provide the Proposer an opportunity to respond to the decision prior to releasing the proposal.

2. Any questions regarding this Request for Proposals should be submitted in writing to Rebecca Kimbrough by email at rkimbrough@azmag.gov not later than eight (8) working days prior to the closing date of September 10, 2012. Responses to questions submitted will be posted on the MAG website at <http://www.azmag.gov> under "RFPs and RFQs" not later than five (5) working days prior to the closing date of September 10, 2012. Additional information regarding MAG activities, including Committee meeting schedules, may be found on the MAG Web site <http://www.azmag.gov>.
3. A pre-proposer's conference for the project has been scheduled for Tuesday, August 21, 2012, beginning at 1:00 PM (Mountain Standard Time) at the MAG Offices located at 302 North First Avenue, Suite 200, Phoenix, AZ 85003 in the Palo Verde Room. Proposers can attend the conference by phone by calling (602) 744-5840 then entering the meeting ID #7767. RSVP to rkimbrough@azmag.gov titled FIS RSVP and in the email please notate the following information: Name of representative for the company, Name of company, and phone number contact.

Proposal Content

It is required that the proposal:

1. Be limited to a maximum length of 55 pages, not including a cover letter, résumés, and any appendices and a one page Table of Contents. The cover letter must be signed by a party authorized to bind the entity submitting the proposal to a contract. Blank pages are not included in the total page count. Paper size must all be 8.5 x 11.
2. Be prefaced by a brief statement describing the proposer's organization and outlining its approach to completing the work required by this solicitation. This statement shall illustrate the proposer's overall understanding of the project.
3. Contain a work plan which concisely explains how the consultant will carry out the objectives of the project and the format with responses to all questions contained in Appendix K. In the work plan, the proposer shall describe the software solution proposed approach to the implementation as clearly and thoroughly as possible.
4. Include a preliminary schedule for the project. Indicate all work plan tasks (as defined in Appendix B of this document) and their durations. The schedule shall clearly identify project deliverable dates.
5. Contain a staffing plan for the project. The plan shall include the following in table format:
 - a. A project organization chart, identifying the project manager.
 - b. Names of key project team members and/or subconsultants. Only those personnel who will be working directly on the project should be cited.
 - c. The role and responsibility of each team member.
 - d. Percent effort (time) of each team member for the contract period.
 - e. The role and level of MAG technical staff support, if any.
6. Include résumés for major staff members assigned to the project. These résumés should focus on their experience in this type of project.
7. Include proposer's recent experience (last five years) in performing work similar to that anticipated herein. This description shall include the following:
 - a. Date of project.
 - b. Name and address of client organization.
 - c. Name and phone number of individual in the client organization who is familiar with the project.
 - d. Short description of project.
 - e. Consultant team members involved and their roles.
8. Each firm submitting a Proposal is required to certify that it will comply with, in all respects, the rules of professional conduct set forth in A.A.C. R4-30-301 (see Appendix A), which is the official compilation of the Rules of Professional Conduct from the Administrative Rules and Regulations for the State of Arizona.
9. A detailed budget formatted as noted in Appendix B. The Appendix B sample is the minimum information that should be included in the estimate. A more detailed budget is preferred.

10. All firms proposing on this project will be required to include a "Proposer's Registration Form" (See Appendix C) in the submitted proposal. In addition, a "Proposer's Registration Form" is required to be included for each subcontractor proposed for this project.

By signature on the Proposer's Registration Form, the Proposer certifies that:

- a. The submission of the offer did not involve collusion or other anti-competitive practices.
 - b. The Proposer shall not discriminate against any employee or applicant for employment in violation of the Federal Executive Order 11246.
 - c. The Proposer has not given or offered to give, and does not intend to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip favor, or service to a public servant in connection with the submitted offer.
 - d. Failure to sign the offer, or the falsity of a statement in a signed offer, shall void the submitted offer or any resulting contracts, and the Proposer may be debarred.
11. Each firm shall document within its proposal any potential conflicts of interest. A conflict of interest shall be cause for disqualifying a consultant from consideration. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the consultant's personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.
 - c. Employing personnel who worked for MAG or one of its member agencies within the past three years.
 - d.
 - i. All relationships with MAG and/or any employees of MAG. MAG will be the final determining body as to whether a conflict of interest exists.
 12. Firms whose proposals are selected by the evaluation team will be asked to perform a live demonstration or via Adobe Connect of the accounting software as submitted in their proposal at the MAG offices at 302 North First Avenue, Phoenix, AZ 85003 during the week of September 19 through September 25th, 2012.
 13. Appendix L and Appendix M have been included in this RFP as additional information about the MAG accounting system and needs.
 14. All Proposers are required, as specified in 49 CFR 29 (Debarment and Suspension), to certify its eligibility to receive federal funds and a copy of which certification may be furnished to ADOT or other government entities. A certification to that effect is included in this RFP as Appendix F and must be submitted by a Proposer in order for the Proposer to be considered responsible and their Proposal to be considered responsive.
 15. Anti-Lobbying: MAG complies with the provisions of Section 1352 of Title 31, U.S. Code (Public law 101.121) as codified in Title 48, Federal Acquisition Regulations Subpart 3.8 and Subpart 52.203-11 and 23 CFR 630.112(c)(5). That legislation prohibits Federal funds from being expended by a recipient or any lower tier sub-recipients of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence a Federal agency or Congress in connection with the award of any Federal contract, the making of any Federal grant or loan, or entering into any cooperative agreement, including the extension, continuation, renewal, amendments or modification of any Federal contract, grant, loan or cooperative agreement.

PROPOSER'S CHECKLIST

Before submitting a proposal, please make sure that all required information as specified in "Proposal Requirements" pages above of this RFP have been included.

- A. Six (6) copies of the proposal with a maximum of 55 pages, paper size 8.5 x 11.
- B. Cover letter signed by a party authorized to bind the entity submitting the proposal.
- C. Description of proposer's organization and approach to work required by the solicitation including description of work plan and the responses to all items in Appendix K of this solicitation.
- D. Description of proposed software solution for the Financial Information System and Human Resource Management System as described in "Proposal Content", beginning on page 4 of this RFP.
- E. Work plan including preliminary schedule, staffing plan, resumes, and similar experience.
- F. Statement of proposer's certification of compliance with Rules of Professional Conduct.
- G. Detailed cost budget using the format as shown in Appendix B. Additional information may be added to the detailed cost budget but at a minimum, the cost budget categories shown in Appendix B must be used.
- H. Signed Proposer's Registration Form for prime contractor and for any proposed subcontractors. Must be signed by a party authorized to bind the entity submitting the proposal.
- I. Documentation of any potential conflicts of interest.
- J. Debarment and Suspension Certification form.
- K. Proposers are encouraged to attend the pre-proposer's conference either in person or by phone on Tuesday, August 21, 2012 beginning at 1:00 PM (Mountain Standard Time) at the MAG offices located at 302 North First Avenue, Suite 200, Phoenix, AZ 85003 in the Palo Verde Room. Proposers can also attend the conference by phone by calling (602) 744-5840 then entering the meeting ID #7767. RSVP to rkimbrough@azmag.gov titled FIS RSVP and in the email please notate the following information: Name of representative for the company, Name of company, and phone number contact.
- L. Proposal submitted not later than Monday, September 10, 2012 at 12:00 PM (Mountain Standard Time) at the MAG offices, 302 North First Avenue, Suite 300, Phoenix, AZ 85003.
- M. Proposers will be available for a live or Adobe Connect demonstration to last approximately 2 hours at the MAG offices of their software during the week of September 19th through September 25th. (Date and time will be arranged with the vendor at least one week prior to demonstration.) The vendor will be responsible for all expenses associated with the demonstration at MAG.

PROPOSAL EVALUATION AND SELECTION PROCESS

1. All proposals will be evaluated by an evaluation team consisting of MAG staff and potentially other MAG member agency staff. Evaluation criteria include the following:
 - a. Demonstrated understanding of the project through a well-defined work plan consistent with program objectives.
 - b. Clarity of proposal, realistic approach, technical soundness, and enhancements to elements outlined in this Request for Proposals.
 - c. Experience of the project manager and other project personnel in similar studies. Only those personnel assigned to work directly on the project should be cited.
 - d. Proven track record in this area of study. Proposers should identify the principal people who worked on past projects and the amount of time they devoted to the work effort.
 - e. Availability of key personnel throughout the project effort.
 - f. Price, except for the procurement of architectural or engineering (A&E) services.
 - g. Ability and commitment to complete the project within the specified time period, meet all deadlines for submitting associated work products, and ensure quality control.
 - h. Recognition of work priorities and flexibility to deal with change and contingencies.
 - i. Completeness of RFP response including responses to Appendix K Vendor Questions.
 - j. Note that a pre-proposer's conference will be held on August 21, 2012 beginning at 1:00 PM (Mountain Standard Time) at the MAG offices, Palo Verde Room, 302 North First Avenue, Suite 200, Phoenix, AZ 85003. Proposer's may attend by phone into the pre-proposer's conference by dialing (602) 744-5840 meeting ID #7767, RSVP to rkimbrough@azmag.gov titled FIS RSVP and in the email please notate the following information: Name of representative for the company, Name of company, phone number contact.
 - k. Vendors must be available to provide either a live demonstration or via Adobe Connect, with an approximate length of two hours, if invited at the MAG offices which will be scheduled one week in advance for the week of September 19th through September 25th, 2012. (see #2 below) The vendor will be responsible for all expenses associated with the demonstration.
2. On the basis of the above evaluation criteria, selected firms submitting proposals will be asked to provide a live demonstration or via Adobe Connect with an approximate length of no more than two hours of their Financial Information System and related Human Resource Management System and this time frame is anticipated to be for the week of September 19th through September 25th. One week prior notice will be given to the selected firms for the on-site demonstration with the details of the exact time and date of the demonstration worked out with the vendor. The vendor will be responsible for all expenses associated with the demonstration including travel. Follow-up interviews may be held after demonstrations and prior to the selection of a consultant. These are anticipated to be phone interviews and it is anticipated that they would be scheduled only if necessary and held during the last week of September. MAG strongly suggests that the project manager and key members of the consultant team be present at both the pre-proposal conference and, if selected, the onsite demonstration.
3. MAG may conduct discussions with Proposers who submit proposals determined to be reasonably susceptible of being selected for award.

4. MAG reserves the right to:
 - a. Cancel this solicitation.
 - b. Reject any and all proposals and re-advertise.
 - c. Select the proposal(s) that, in its judgment, will best meet its needs.
 - d. Negotiate a contract that covers selected parts of a proposal, or a contract that will be interrupted for a period or terminated for lack of funds.

ADMINISTRATIVE REQUIREMENTS

1. This Request for Proposals is for a cost-reimbursement plus fixed fee contract.
2. During the course of the project, a progress report is required to be submitted with each invoice and a final report must be submitted with the final invoice. Invoices should be submitted at a minimum, every two months. Each report shall include a narrative of the activities performed during the month, an estimated percent complete for each project task, monthly and cumulative costs by task, activities of any subcontractors, payments to any subcontractors, a discussion of any notable issues or problems being addressed, and a discussion of anticipated activities for the next month (See Appendix E for sample format).
3. MAG shall retain ten percent (10%) of the contract amount, withheld from each invoice, as final payment until completion of the project to the satisfaction and acceptance of the work. Final payment shall be made after acceptance of the final product and invoice.
4. An audit examination of the consultant's records may be required.
5. The firm selected will be required to comply with MAG insurance requirements, which may include: Workmen's Compensation, Architects and Engineers Professional Liability insurance, Commercial General Liability insurance, Business Automobile Liability insurance, and Valuable Papers insurance.
6. The firm selected is required to document any potential conflicts of interest during the contract period. A conflict of interest shall be cause for terminating a contract. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the consultant's personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.
 - c. Employing personnel who worked for MAG or one of its member agencies within the past three years.

MAG will be the final determining body as to whether a conflict of interest exists.

7. Non-Discrimination: MAG, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C 2000d to 2000d-4 and Title 49, the Civil Rights Restoration Act of 1987 (Public Law 100.259). Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all Proposers that it will affirmatively insure that in any contract entered into pursuant to this solicitation, minority business enterprises will be afforded full opportunity to submit Proposals in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award. Any contract resulting from this RFP shall contain Title VI compliance language as specified in Appendix D of this RFP.

APPENDIX A - ARIZONA ADMINISTRATIVE CODE R4-30-301

CH. 30 BOARD OF TECHNICAL REGISTRATION R4-30-301

ARTICLE 3. REGULATORY PROVISIONS

R4-30-301. Rules of Professional Conduct

All registrants shall comply with the following rules of professional conduct:

1. A registrant shall not submit any materially false statements or fail to disclose any material facts requested in connection with an application for registration or certification, or in response to a subpoena.
2. A registrant shall not engage in fraud, deceit, misrepresentation or concealment of material facts in advertising, soliciting, or providing professional services to members of the public.
3. A registrant shall not commit bribery of a public servant as proscribed in A.R.S. § 13-2602, commit commercial bribery as proscribed in A.R.S. § 13-2605, or violate any federal statute concerning bribery.
4. A registrant shall comply with state, municipal, and county laws, codes, ordinances, and regulations pertaining to the registrant's area of practice.
5. A registrant shall not violate any state or federal criminal statute involving dishonesty, fraud, misrepresentation, embezzlement, theft, forgery, perjury, bribery, or breach of fiduciary duty, if the violation is reasonably related to the registrant's area of practice.
6. A registrant shall apply the technical knowledge and skill that would be applied by other qualified registrants who practice the same profession in the same area and at the same time.
7. A registrant shall not accept an engagement if the duty to a client or the public would conflict with the registrant's personal interest or the interest of another client without making a full written disclosure of all material facts of the conflict to each person who might be related to or affected by the engagement.
8. A registrant shall not accept compensation for services related to the same engagement from more than one party without making a full written disclosure of all material facts to all parties and obtaining the express written consent of all parties involved.
9. A registrant shall make full disclosure to all parties concerning:
 - a. Any transaction involving payments to any person for the purpose of securing a contract, assignment, or engagement, except payments for actual and substantial technical assistance in preparing the proposal; or
 - b. Any monetary, financial, or beneficial interest the registrant holds in a contracting firm or other entity providing goods or services, other than the registrant's professional services, to a project or engagement.
10. A registrant shall not solicit, receive, or accept compensation from material, equipment, or other product or services suppliers for specifying or endorsing their products, goods or services to any client or other person without full written disclosure to all parties.
11. If a registrant's professional judgment is overruled or not adhered to under circumstances where a serious threat to the public health, safety, or welfare may result, the registrant shall immediately notify

the responsible party, appropriate building official, or agency, and the Board of the specific nature of the public threat.

12. If called upon or employed as an arbitrator to interpret contracts, to judge contract performance, or to perform any other arbitration duties, the registrant shall render decisions impartially and without bias to any party.
13. To the extent applicable to the professional engagement, a registrant shall conduct a land survey engagement in accordance with the April 12, 2001 Arizona Professional Lands Surveyors Association (APLS) Arizona Boundary Survey Minimum Standards, as adopted by the Board on June 15, 2001, the provisions of which are incorporated in this subsection by reference and on file with the Office of the Secretary of State. This incorporation by reference does not include any later amendments or editions and is available at the Board's office and APLS at www.aia.org.
14. A registrant shall comply with any subpoena issued by the Board or its designated administrative law judge.
15. A registrant shall update the registrant's address and phone number of record with the Board within 30 days of the date of any change.
16. A registrant shall not sign, stamp, or seal any professional documents not prepared by the registrant or a bona fide employee of the registrant.
17. Except as provided in subsections (18) and (19), a registrant shall not accept any professional engagement or assignment outside the registrant's professional registration category unless:
 - a. The registrant is qualified by education, technical knowledge, or experience to perform the work; and
 - b. The work is exempt under A.R.S. § 32-143
18. A registered professional engineer may accept professional engagements or assignments in branches of engineering other than that branch in which the registrant has demonstrated proficiency by registration but only if the registrant has the education, technical knowledge, or experience to perform such engagements or assignments.
19. Except as otherwise provided by law, a registrant may act as the prime professional for a given project and select collaborating professionals; however, the registrant shall perform only those professional services for which the registrant is qualified by registration to perform and shall seal and sign only the work prepared by the registrant or by the registrant's bona fide employee.
20. A registrant who is designated as a responsible registrant shall be responsible for the firm or corporation. The Board may impose disciplinary action on the responsible registrant for any violation of Board statutes or rules that is committed by a non-registrant employee, firm, or corporation.
21. A registrant shall not enter into a contract for expert witness services on a contingency fee basis or any other arrangement in a disputed matter where the registrant's fee is directly related to the outcome of the dispute.

Amended by final rulemaking at 12 A.A.R. 1609, effective July 1, 2006 (Supp. 06-2).

COMPLIANCE WITH RULES OF PROFESSIONAL CONDUCT CERTIFICATION

_____ shall comply with, in all respects, the rules of
(Name of Consulting Firm)
professional conduct set forth in A.A.C. R4-30-301.

(Signature)

(Print Name)

(Title)

(Date)

APPENDIX B - DETAILED BUDGET SAMPLE

Template for Budget Reporting (at a minimum, the categories listed below must be budgeted and assigned a task number for project reporting and billing purposes; additional detail preferred)

Assign Task Number	Deliverable	Start Date	# Hrs Budgeted	Deliverable \$ Amount		
Task 1	Software Cost and Delivery (Name all modules below; packaged integrated software listed on one line with detail of modules included, i.e., GL, AP, AR, etc.- separate systems, ex: HR to be integrated listed separately); add lines as needed.					
	a.					
	b.					
Task 2	Kick-Off Meeting					
Task 3	Discovery Sessions					
Task 4	Database Set-Up and Design (includes interfaces)					
Task 5	Conversion - Master Files					
Task 6	Key User Training on-site					
Task 7	Key User Training phone assistance					
Task 8	TimeSheet Training onsite					
Task 9	Reporting Training onsite					
Task 10	Historical Data Conversion					
Task 11	Any additional costs estimate for Report Creation					
Task 12	Travel					
Task 13	Please include any customization needed.					
Totals:						
Maintenance And Support (Annual estimate for next 5 years and vendor should provide a copy of the maintenance agreement as an appendix with the RFP response.)		Year 1	Year 2	Year 3	Year 4	Year 5
Estimated Costs						
Totals:						

APPENDIX C - PROPOSER'S REGISTRATION FORM

All firms proposing as prime contractors or subcontractors on Maricopa Association of Governments (MAG) projects are required to be registered. **Please complete this form and return it with your proposal.**

If you have any questions about this registration form, please call the MAG Fiscal Services Manager, (602) 254-6300.

1. GENERAL INFORMATION:

Name of Firm: _____

Street Address: _____

City, State, ZIP _____

Mailing Address: _____

City, State, ZIP _____

Telephone Number _____ Fax Number: _____

E-mail address: _____

Web address: _____ Year firm was established _____

Is this firm a prime consultant? Yes No

Is this firm a sub-consultant? Yes No

If so, Identify specialty: _____

Is this firm a certified DBE? Yes No

If so, by whom? _____

Is this firm currently debarred? Yes No

Is this firm currently the subject of debarment proceeding? Yes No

2. FINANCIAL INFORMATION

Firm's annual gross receipts (average of last three years)

_____	<\$300,000
_____	\$300,000 - \$599,999
_____	\$600,000 - \$999,999
_____	\$1,000,000 - \$4,999,999
_____	>\$5,000,000

Information will be maintained as confidential to the extent allowed by federal and state law. The undersigned swears that the above information is correct. Any material misrepresentation may be grounds for terminating any contract which may be awarded and initiating action under federal and state laws concerning false statements.

Name, Title

Date

APPENDIX D - TITLE VI AGREEMENT/CONTRACT REQUIREMENTS

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

1. **Compliance with Regulations:** The contractor shall comply with the Regulation relative to nondiscrimination in federally-assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.
2. **Nondiscrimination:** The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, national origin, or sex in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
3. **Solicitations for Subcontractors, Including Procurements of Materials and Equipment:** In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, national origin, or sex.
4. **Information and Reports:** The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Arizona Department of Transportation or the Federal Highway Administration to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the Arizona Department of Transportation, or the Federal Highway Administration as appropriate, and shall set forth what efforts it has made to obtain the information.
5. **Sanctions for Noncompliance:** In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the Arizona Department of Transportation shall impose such contract sanctions as it or the Federal Highway Administration may determine to be appropriate, including, but not limited to:
 - a. withholding of payments to the contractor under the contract until the contractor complies, and/or
 - b. cancellation, termination or suspension of the contract, in whole or in part.
6. **Incorporation of Provisions:** The contractor shall include the provisions of paragraphs 1 through 5 in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontract or procurement as the Arizona Department of Transportation or the Federal Highway Administration may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, however, that, in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the Arizona Department of Transportation to enter into such litigation to protect the interests of the Arizona Department of Transportation, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

APPENDIX E - PROGRESS REPORT FORMAT SAMPLE

(Consultant's Letterhead)
April 15, 2010

(MAG Project Manager)
Maricopa Association of Governments
302 North First Avenue, Suite 300
Phoenix, Arizona 85003

Re: Progress Report No. 3 and Invoice for the Period of March 2010

For Each Task, the consultant is to provide the percent of work completed to date, a narrative describing the work accomplished, data obtained, problems encountered, meetings held and reports and/or data produced. It is the responsibility of the consultant to document that the work accomplished for each task during the reporting period is commensurate with the amount of money billed for the task in the invoice.

The narrative describing the work accomplished should be of sufficient detail to enable the Project manager to clearly understand the progress on the task during the reporting period. Wherever possible, the consultant should submit along with the progress report appropriate documentation of work accomplished, such as partial or complete draft technical reports or working papers, etc.

TASK 1 - DATA COLLECTION

Percent of Work Completed: 100 percent.

Work Accomplished: A database in both hard copy and electronic format was developed and a methodology for keeping the database current was established.

Data Obtained: Information on the transportation facilities was secured for each of the facilities in the study area. The data included, but was not limited to: name, location, and current and historical traffic levels.

Meetings Held: The following meetings were held in connection with the data collection effort:

March 15, 2010, with the MAG project manager to review data collected for the facilities.

March 21, 2010, with the Advisory Committee to obtain input on the data collection process.

March 23, 2010, with MAG staff to review comments on preliminary database.

March 25, 2010, with the public and special interest groups to obtain input on the distribution of the database.

Reports or Data Produced: A database in electronic format was produced and provided to MAG staff on March 29, 2010

TASK 2 - INVENTORY

Percent of Work Completed: 100 percent.

Work Accomplished: A facilities inventory was completed, and the data obtained in Task 1 were compiled into a Draft Inventory Technical Report for distribution to the Advisory Committee.

Data Obtained: See Task 1.

Meetings Held: The following meetings were held:

March 1, 2010, met with MAG staff to finalize the outline for the Inventory Technical Report.

March 10, 2010, met with the MAG project manager to obtain suggestions on methods for comparing facility information.

Reports or Data Produced: A draft Inventory Technical Report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 3 - FORECASTS

Percent of Work Completed: 100 percent.

Work Accomplished: Forecasts of travel demand on inventoried facilities were prepared for 2000, 2010 and 2020. The forecasts were consistent with County control totals reviewed by the Advisory Committee last month. The forecasts included a breakdown by facility type.

Data Obtained: See Task 1.

Meetings Held: March 21, 2010, met with MAG staff to discuss comments on preliminary forecast results.

Reports or Data Produced: A draft forecasts report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 4 - DEMAND/CAPACITY ANALYSIS AND FACILITY REQUIREMENTS

Percent of Work Completed: 60 percent.

Work Accomplished: An hourly capacity was computed for each of the inventoried facilities using the federal guidance provided by MAG staff.

Data Obtained: See Task 1.

Meetings Held: A meeting was held on March 25, 2010 to discuss the differences between the capacity calculations for this study versus previous studies.

Reports or Data Produced: None. However, a draft set of capacity estimates is enclosed documenting the assumptions and data input used to prepare the estimates.

TASK 5- ALTERNATIVES

Percent of Work Completed: 25 percent.

Work Accomplished: Other regional plans were examined to determine the type of alternatives that were used to meet future demand.

Data Obtained: Regional plans from San Diego, Los Angeles, Denver, Seattle Tucson and Chicago were collected.

Meetings Held: On March 18, 2010, a meeting was held with planners for the Pima Association of Governments to discuss alternatives.

Reports or Data Produced: None.

TASK 6 - EVALUATION OF ALTERNATIVES

Work on this task has not begun.

TASK 7 - RECOMMENDATIONS

Work on this task has not begun.

TASK 8 - IMPLEMENTATION

Work on this task has not begun.

Problems Encountered

Some of the capacity calculations prepared for the study were different from the capacity calculations used in previous studies. These differences were discussed and resolved at a meeting held with MAG staff on March 25, 2010.

Invoice: The enclosed invoice is for the third progress payment of \$17,679.20. The total amount billed to date is \$48,250.00.

Sincerely,

Project Manager Name
Project Manager Title

Enclosure

APPENDIX F - DEBARMENT/SUSPENSION CERTIFICATION

STATE OF)
SS.)

COUNTY OF)

I, _____ of the City of _____, in the County of _____ and the State of _____, of full age, being duly sworn according to the law of my oath depose and say that:

In accordance with the terms of U.S. DOT regulations, "Nonprocurement Suspension and Debarment," 2 CFR Part 1200, which adopts and supplements the provisions of U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," 2 CFR Part 180:

1. Proposer certifies to the best of its knowledge and belief, that it and its principals, including its first tier subcontractors: (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded or disqualified from covered transactions by any Federal department or agency; (b) Have not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction; violation of any Federal or State antitrust statute; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property; (c) 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 listed in subparagraph (1)(b) of this certification; (d) Have not within a three-year period preceding this certification had one or more public transactions (Federal, State, or local) terminated for cause or default.
2. Proposer certifies that it and its principals, including its first tier subcontractors will treat each lower tier contract or lower tier subcontract under the Project that (a) equals or exceeds \$25,000, (b) is for audit services, or (c) requires the consent of a Federal official, as a covered contract for purposes of 2 CFR Part 1200 and 2 CFR Part 180, and will otherwise comply with the Federal requirements of 2 CFR Part 1200 and 2 CFR Part 180, and will assure that each lower tier participant involved in the Project is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded or disqualified from participation in this transaction by any Federal department or agency;
3. Proposer certifies that if, later, it or its principals, including any of its first tier subcontractors, become aware of any information contradicting the statements of subparagraphs (1)(a) through (d) above, it will promptly provide any necessary information to MAG;
4. If Proposer or any of its principals, including any of its first tier subconsultants or lower tier participants, is unable to certify to the statements within paragraphs 1, 2, and 3 above, the Proposer shall indicate so on its Signature Page.
5. The Proposer further certifies that their firm is not currently debarred, suspended, or proposed for debarment or suspension by the State of Arizona, or any subdivision thereof.

6. Proposer agrees to notify MAG of any change in the status or facts certified above, should one occur, until such time as the Contract is actually executed by MAG, and thereafter during performance of the Contract.

Dated: _____

Signature of Proposer

Printed/Typed Name of Proposer

Corporate seal (if applicable)

Sworn to before me this _____ day of _____, 2012, in the County of _____,

State of _____

Notary Public

APPENDIX G - PARTICIPATION BY DISADVANTAGED BUSINESS ENTERPRISES – COMMITMENT, COMPLIANCE AND REPORTING

1. Federal regulations require a recipient of federal highway funding to implement an approved DBE Program that consists of establishing a statewide DBE utilization goal that uses race-neutral means to the maximum feasible extent to achieve the goal. Where race-neutral measures prove inadequate to achieve the goal, the STATE is required to use race-conscious measures, such as a DBE participation goal for individual contracts.

ADOT has established a Disadvantaged Business Enterprise (DBE) program in accordance with the regulations of the U.S. Department of Transportation (USDOT), 49 CFR Part 26. ADOT has received federal financial assistance from the USDOT and as a condition of receiving this assistance, ADOT has signed an assurance that it shall comply with 49 CFR Part 26. MAG has adopted ADOT's DBE program and will ensure compliance with 49 CFR Part 26.

It is ADOT'S policy to ensure that DBEs, as defined in 49 CFR Part 26, have an equal opportunity to receive and participate in federally-funded contracts. It is also ADOT'S policy to:

- a. Ensure nondiscrimination in the award and administration of federally-funded contracts;
 - b. Create a level playing field on which DBEs can compete fairly for federally-funded contracts;
 - c. Ensure that the DBE program is narrowly tailored in accordance with applicable law;
 - d. Ensure that only firms that fully meet 49 CFR Part 26 eligibility requirements are counted as DBEs;
 - e. Help remove barriers to the participation of DBEs in federally-funded contracts; and
 - f. Assist in the development of firms that can compete successfully in the marketplace.
2. DBE GOAL/COMMITMENT AND DOCUMENTATION:

This contract has No Established DBE Goal therefore, no DBE is required. The consultant is encouraged to obtain DBE participation.

- a. The CONSULTANT is required to adhere to the DBE goal/commitment made to utilize certified DBEs as indicated in the firm's Request for Proposals (RFP)/Request for Qualifications (RFQ) or the CONSULTANT and Subconsultant DBE Affidavits (APPENDIX I and APPENDIX J) submitted, or subsequently agreed to by the STATE and MAG during negotiations. The STATE, at its discretion on a case-by-case basis, may waive the above limitations.
 - b. The CONSULTANT is also required to utilize DBEs at or above the DBE goal established in this CONTRACT if Contract Modifications increase the value of the CONTRACT. If ADOT determines that the CONSULTANT has not met the DBE goal or has not made an adequate good faith effort to meet the DBE goal as Contract Modifications increase the value of the contract, ADOT reserves the right to disapprove the Contract Modification negotiations with the firm. MAG and ADOT Civil Rights Office will analyze the submittal to determine if in fact good faith efforts have been demonstrated consistent with ADOT procedures and the Federal regulations, 49 CFR 26.
3. COMPLIANCE:
- a. If this CONTRACT is subject to DBE compliance tracking for the CONSULTANT and its Subconsultants, lower-tier Subconsultants and Vendors are required to provide any requested DBE CONTRACT compliance-related data in hard copy or electronically as determined by the STATE, including written agreements between the CONSULTANT and Subconsultant DBEs.

The CONSULTANT shall report the amount earned by and paid to each DBE and Non-DBE Subconsultants working on the project for the preceding month on each monthly Progress Payment Report. The CONSULTANT is responsible for ensuring that the CONSULTANT and all its Subconsultants and lower-tier Subconsultants have completed all requested items and that their contact information is accurate and up-to-date.

- b. If this contract is subject to DBE compliance tracking, the CONSULTANT'S achievement of the DBE goal is measured by actual payments made to the DBEs. At the completion of the project, the CONSULTANT shall complete and submit a Certification of Payments to DBE Firms affidavit for each DBE firm working on the project. This affidavit shall be signed by the CONSULTANT and the relevant DBE Subconsultant and submitted to MAG and CRO.

4. REPORTING AND SANCTIONS:

- a. ADOT and MAG are required to collect DBE participation data on all Federal-aid projects, whether or not there is a stated DBE goal/commitment on this CONTRACT. Therefore, the CONSULTANT shall report the monthly payments made to all DBE, Non-DBE Subconsultants and Direct Expense Vendors, including all lower-tier Subconsultants, for labor, equipment, and materials. If the CONSULTANT and its Subconsultants do not provide all required DBE usage and payment information with the monthly Progress Payment Reports (PRs) submittals for the preceding month, the STATE shall request that MAG deduct \$1,000 for each delinquent report, whether from the CONSULTANT or any of its Subconsultants, from the progress payment for the current month, not as a penalty but as liquidated damages. If by the following month, the required DBE payment information for the previous month has still not been provided, the STATE shall request that MAG deduct an additional \$1,000 for each delinquent report. Such deductions shall continue for each subsequent month that the CONSULTANT or its Subconsultants fail to provide the required payment information.
 - b. DBEs shall confirm the payments received from the CONSULTANT through CRO'S DBE Contract & Labor Compliance Management System (DBE System).
 - c. After execution of this CONTRACT and before the first Payment Report/Invoice is submitted to MAG, the CONSULTANT is required to log into the CRO'S online DBE Contract & Labor Compliance Management System (<https://arizonalpa.dbesystem.com>) and enter the name, contact information, and subcontract amounts for all Subconsultants, lower-tier Subconsultants and Direct Expense vendors performing any work on the project to help ADOT track payments to DBE and Non-DBE Subconsultants on the project and to confirm that the scope of services and commitments made via the DBE Intended Participation Affidavits are being met.
 - d. All DBE and non-DBE subcontracting activities and payments shall be reported by the CONSULTANT. All DBE subcontracting activities will be counted toward DBE participation. This includes lower-tiers subcontracting activities regardless of whether or not the DBE is under contract with another DBE. If this contract is subject to DBE compliance tracking.
5. At the completion of this CONTRACT, the CONSULTANT shall submit a Certificate of Payment Affidavit certifying that all DBEs were paid in full for material and/or work promised and performed under the terms of this CONTRACT.

6. DBE SUBSTITUTION OR REPLACEMENT:

- a. The CONSULTANT shall not terminate a DBE Subconsultant listed in the RFP/RFQ response or the CONSULTANT or Subconsultant DBE Affidavit submitted with each approved Task Order for on-call contracts without the prior written approval by the STATE and MAG.
- b. If a Subconsultant is terminated, or fails to complete its work on this CONTRACT for any reason, the CONSULTANT shall make a good faith effort to find another DBE to perform at the least the

same amount of work under the CONTRACT as the DBE that was terminated, to the extent needed to meet the DBE commitment percentage established in this CONTRACT.

7. MAG, at its sole discretion, may terminate the CONTRACT at any time if MAG determines that the CONSULTANT is not satisfactorily meeting the DBE goal/commitment stated in the CONTRACT or is not making satisfactory good faith efforts to meet the goal.
8. COUNTING DBE PARTICIPATION. In counting the DBE participation, ADOT shall apply the rules in 49 CFR §26.55 (see APPENDIX F) as a supplement herein. The firm shall count only the value of the work actually performed by the DBE toward DBE goals.
 - a. CONTRACTS created to artificially create DBE participation are not acceptable; the arrangement shall be within normal industry practices. The DBE shall perform a commercially useful function.
 - b. Count the entire amount of that portion of a CONTRACT (or other CONTRACT not covered by paragraph (2) of this section) that is performed by the DBE's own forces. Firms shall include the cost of supplies and materials obtained by the DBE for the work on the CONTRACT, including supplies purchased or equipment leased by the DBE (except supplies and equipment the DBE Subconsultant purchases or leases from the CONSULTANT or its affiliate).
 - c. Count the entire amount of fees or commissions charged by a DBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specially required for the performance of a DOT-assisted contract, toward DBE goals, provided the fee is determined to be reasonable and not excessive as compared with the fees customarily allowed for similar services.
 - d. When a DBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward DBE goals only if the lower-tier Subconsultant is itself a DBE. Work that a DBE subcontracts to a non-DBE does not count toward DBE goals.
 - e. It is presumed that the DBE is not performing a commercially useful function if: (a) a DBE does not perform or exercise responsibility for at least 30 percent (30%) of the total cost of its CONTRACT with its own work force; or (b) the DBE subcontracts a greater portion of the work of a CONTRACT than would be expected on the basis of normal industry practice for the type of work involved.

APPENDIX H - 49 CFR PART 26, - GUIDANCE CONCERNING GOOD FAITH EFFORTS

1. When, as a recipient, you establish a contract goal on a DOT-assisted contract, a bidder must, in order to be responsible and/or responsive, make good faith efforts to meet the goal. The bidder can meet this requirement in either of two ways. First, the bidder can meet the goal, documenting commitments for participation by DBE firms sufficient for this purpose. Second, even if it doesn't meet the goal, the bidder can document adequate good faith efforts. This means that the bidder must show that it took all necessary and reasonable steps to achieve a DBE goal or other requirement of this part which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.
2. In any situation in which you have established a contract goal, part 26 requires you to use the good faith efforts mechanism of this part. As a recipient, it is up to you to make a fair and reasonable judgment whether a bidder that did not meet the goal made adequate good faith efforts. It is important for you to consider the quality, quantity, and intensity of the different kinds of efforts that the bidder has made. The efforts employed by the bidder should be those that one could reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere pro forma efforts are not good faith efforts to meet the DBE contract requirements. We emphasize, however, that your determination concerning the sufficiency of the firm's good faith efforts is a judgment call: meeting quantitative formulas is not required.
3. The Department also strongly cautions you against requiring that a bidder meet a contract goal (i.e., obtain a specified amount of DBE participation) in order to be awarded a contract, even though the bidder makes an adequate good faith efforts showing. This rule specifically prohibits you from ignoring bona fide good faith efforts.
4. The following is a list of types of actions which you should consider as part of the bidder's good faith efforts to obtain DBE participation. It is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.
 - a. Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.
 - b. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.
 - c. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.
 - d.
 - i. (1) Negotiating in good faith with interested DBEs. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and phone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.

- ii. A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.
 - e. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal.
 - f. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.
 - g. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.
 - h. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.
5. In determining whether a bidder has made good faith efforts, you may take into account the performance of other bidders in meeting the contract. For example, when the apparent successful bidder fails to meet the contract goal, but others meet it, you may reasonably raise the question of whether, with additional reasonable efforts, the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the goal, but meets or exceeds the average DBE participation obtained by other bidders, you may view this, in conjunction with other factors, as evidence of the apparent successful bidder having made good faith efforts.

**APPENDIX I - DISADVANTAGED BUSINESS ENTERPRISE INTENDED PARTICIPATION
AFFIDAVIT SUMMARY SHEET
(Does not need to be completed for this RFP)**

To be completed by Prime

MAG Project Name _____

Date of Posting _____

Name of Prime Firm _____

Directions:

1. This Affidavit must reflect the information included on the individual DBE Subconsultant Intended Participation Affidavit for each DBE SUBCONSULTANT OR DBE TIER SUBCONSULTANT.
2. A separate Subconsultant Affidavit must be submitted for EACH proposed Subconsultant DBE firm.
3. This Affidavit must be signed/notarized by an individual authorized to sign the SOQ proposals on behalf of the firm.
4. This Affidavit and all DBE Subconsultant Affidavits must be submitted with the proposal.

DBE Information: (Attach additional sheets as necessary.)

Name of DBE Firm, Consultant, Sub, or Tier Sub	Consultant, Subconsultant, or Tier Subconsultant (name one)	Type of Service to be Provided	Proposed Dollar Amount	Proposed % of DBE Participation
Total Proposed Dollar Amount				
Contract Modification Amount				
Total Percent (%) of DBE Commitment				
Contract DBE Goal				

I certify that:

My firm has accepted a proposal from the above named DBE subconsultants.

- My firm has notified the proposed DBE subconsultants of the estimated DBE commitment and this agreement is to be performed in accordance with DBE provisions of the contract.
- My firm's use of the proposed DBE subconsultants for the item of work listed above is a condition of the contract award.
- My firm will invite the proposed DBE subconsultants to attend any prenegotiation partnering conferences or other requested meetings related to this contract.
- My firm is required to make sufficient reasonable efforts to (sub) contract either the same or other work to an alternative certified DBE equal to the amount to attain the DBE commitment if a proposed certified DBE is unable or unwilling to perform the work or any part of the intended work.
- I understand that any work assigned to a certified DBE, who then subcontracts to a noncertified DBE will NOT count toward DBE goals.
- My firm will ensure that DBEs will perform commercially useful functions as part of this contract and will provide documentation to ADOT and MAG, such as Subcontract agreements with DBE's, if requested, to validate such work.
- I understand that failure to comply with the information shown on this form will be considered grounds for contract sanctions and other sanctions.
- I declare under penalty or perjury in the second degree, and any other applicable state or federal laws that the statements made in this document are true and complete to the best of my knowledge.

Name of Firm _____

Signature _____

Title _____

STATE OF ARIZONA)

)

COUNTY OF)

Subscribed and sworn to before me this _____ day of _____, 20____ by _____
(day) (month) (year) NOTARY PUBLIC

(seal)
(AFFIX NOTARY SEAL HERE)

**APPENDIX J - SUBCONSULTANT DBE PARTICIPATION FORM AFFIDAVIT
(Does not need to be completed for this RFP)**

To be completed by the DBE subcontractor

MAG Project Name: _____

Date: _____

Name of Prime Consultant _____

Name of the DBE Subconsultant _____

* DBE Tier Subconsultant Name: _____

Subcontracted by: _____

* Tier Subconsultant refers to any subconsultant that is contracted by another subconsultant at any level.

Directions:

1. This Affidavit must be completed by all DBE Subconsultants and DBE Tier Subconsultants and signed by an officer or principal of the subconsultant DBE firm and submitted to the Consultant.
2. A separate Affidavit must be submitted for EACH proposed Subconsultant DBE firm.
3. List all full and partial services to be provided by the above named DBE Subconsultant firm.
4. All partial services provided must be fully explained. If not, the DBE will be considered to be responsible for the entire services to be performed. Attach additional sheets as necessary.
5. All DBE Subconsultant Affidavits must be submitted with the Proposal.

LIST ALL FULL AND PARTIAL SERVICES TO BE PROVIDED BY THE ABOVE NAMED DBE FIRM (Partial services must be explained. Use additional sheets if needed.)	

DBE Firm's Estimated Budget for the Contract/Task Order	
DBE Firm's % Participation for the Contract/Task Order	
Contract DBE Goal	

Subconsultant Certification:

I certify that:

- My firm has made an arrangement/agreement with the above named Consultant to do work listed above for the proposed contract.
- My firm agrees to the proposed DBE commitment above and agrees to perform the services in accordance with the DBE provisions of the contract.
- My firm will complete 100% of the work listed above or intends to subcontract ___% of the work to another DBE firm to another DBE firm and/or ___% to another Non-DBE firm.

Name of other DBE firm(s): _____

I understand that:

- The use of my DBE firm for the items of work listed above is a condition of the Consultant being awarded this contract.
- My firm must attend any pre-negotiation, partnering conferences or other required meetings related to this contract.
- If I assign any work to a non-certified DBE firm, I must inform the Consultant because the work will NOT count towards the DBE goal and it will LOWER my DBE participation.
- I understand that failure to comply with the information shown on this form will be considered grounds for contract sanctions and other sanctions.
- I declare under penalty of perjury in the second degree, and any other applicable state or federal laws that the statements made on this document are true and complete to the best of my knowledge.

Subconsultant Name: _____ Date: _____

Officer Signature: _____ Title: _____

APPENDIX K – GENDERAL QUESTIONS AND APPLICATION QUESTIONS

Vendor Questions. Note that the questions and responses in this Appendix must be included as part of your RFP response.

I. Vendor Questions

No.	Question	Response
V1	Describe the key distinctions of your application that differentiates it from the rest of the market.	
V2	Describe any legal issues or constraints that would have a material effect on the relationship with MAG.	
V3	How many clients that do governmental accounting and receive most of their funding as cost reimbursement of federal funds does your company have and how many implementations for governmental accounting clients have been done by your company in the last 5 years? If any, what unique problems have you solved for your governmental customers?	
V4	Does your company support any user groups that are relevant to the governmental accounting sector?	
V5	In what year did your company start developing & selling its FIS solution? In what year did your company start developing and selling its government version of its FIS solution?	
V6	Where is your company's closest office to Phoenix, AZ?	
V7	Describe the tenure and experience of the senior management team.	
V8	Does your company have a customer satisfaction program? If so, how does your company measure customer satisfaction?	
V9	What opportunities and venues exist for input to be heard for future releases and customer satisfaction issues?	
V10	Describe the typical service level agreements in place for your customers, including those that are part of the typical license and maintenance agreement, as well as those that are provided on an up-charge basis.	
V11	What is the average response time for priority 2 & 3 incidents? (factoring out priority 1 incidents if your answer is that an emergency receives an immediate	

No.	Question	Response
	response)	
V12	Describe end-user support policies, services and capabilities, including availability of support staff, number of support staff dedicated to your application, availability of service level reporting, and response time for high priority issues. Does your company have a support site/portal?	

II. General Application Questions (Please answer for each application proposed)

	Question	Response
A1	How long has the current version of the software been in production?	
A2	Discuss the future of the application in the next 3-5 years, detailing development efforts related to new functionality and modules.	
A3	How does your company define a “stable” version of the application?	
A4	Please provide a diagram of the relationship between each of the modules and the integration points between those modules. Please designate any modules that will be an add-on to the current system.	
A5	What workflow features does the application provide and in what modules?	
A6	Can your application drill down from the General Ledger into sub-modules? How does this work? What analysis can be done?	
A7	Can the application meet regulatory requirements of GASB, GAAP, FHWA, and FTA? What about State and Local regulations?	

III. Technical Questions

	Question	Response
T1	What is the primary database platform? What other database platforms are supported?	
T2	How frequently are major releases (to the left of the decimal point) produced? When is the next major version due out?	
T3	Describe the upgrade process and general expectations on the complexity and timeline of performing upgrades (assuming an ordinary upgrade). Please include	

	Question	Response
	information about the company's upgrade policy, particularly how long a customer can stay on older version before support will no longer be provided.	
T4	Is your application web enabled? Does it reside on the client server(s)? Or both? Are there client installation and configuration requirements?	
T5	What reporting tools are available within the application? Please describe reporting features that are within the control of the end-user.	
T6	Does your application have the ability to perform electronic signatures?	
T7	Do users have the ability to future date the effectiveness of a given data element, i.e. effective date that a Vendor becomes active? In what modules is this feature contained?	
T8	Under what circumstances do users have the ability to delete data, especially transactional data?	
T9	What audit features does your application provide? Are audit features within the control of managers or do they require technical support?	
T10	Describe the features that control user privileges to pages and reports within the application.	
T11	Describe features that allow for customization on an application by application basis.	
T12	Please list the vendors and systems with which your application has built-in integration, including the point of integration.	
T13	Describe any gateways the application offers to other Vendor applications, including ODBC connections.	
T14	What data export features are within the control of the user? (list by module and general description of the data).	
T15	Describe what field and table level privilege controls exist within the system, including view-only features.	
T16	Describe the search features within the application, particularly top-level search across the entire application and search within a given set of data records.	

	Question	Response
T17	Does your application provide for multi-companies?	
T18	Does your solution allow for customization? How is this done? Does it require a developer toolkit? What is the code base? How much can users do, vs. developers?	
T19	What are the data conversion tools that your system provides? Do you provide interface tables, or other tools?	
T20	Describe how your billing system can interfaces with the grants module (which is MAG's only funding except for miscellaneous cash receipts)	
T21	What 3rd party tools do you deliver integration with?	
T22	Please list the various report output formats such as .pdf, .csv, .prn, excel,etc.	
T23	Does the application provide integration to standard office products such as Microsoft Word, Excel and Access?	
T24	Does your application require batch processes to move data from one module to another? If yes, please list those modules where batch integration exists.	
T25	Discuss the patch (bug) fix process.	
T26	Describe archiving capabilities of your system.	
T27	Describe integration with payroll processors.	

IV. Professional Services Questions

	Question	Response
PS1	How long is the typical implementation period (assuming a standard implementation for a company described as the size of MAG)?	
PS2	Will you provide a set of user manuals for review by the evaluators (we will return them during the demonstration or via U.S. Postal mail)? In what format are these documents?	
PS3	At what stage of the implementation do you recommend that users attend training?	
PS4	What training services/classes are available? Where are the training facilities?	

	Question	Response
PS5	May MAG record training sessions for internal use.	

V. General Ledger

Coding Structure (Chart of Accounts and Work Breakdown Structure)

There are two core elements of the transactional coding structure that must be linked. The Chart of Accounts needs to provide us with the information to report financial results on operations by grant, project, fund, cost center, account, and the ability to track budgets, encumbrances and expenditures across the same items. The selected solution needs to provide the flexibility and tools required to manage these relationships and hierarchies

	Question	Response
G1	Describe the coding structure available in your system for Chart of Accounts and Work Breakdown Structure? Do you provide additional structures for managing financial and non-financial transactions?	
G2	Define each available code structure, code/field available, and descriptive information (digits, description, dates etc.)	
G3	Describe how your system manages the rollup/summary within your coding structure for reporting or budget checking?	
G4	Describe the built in process flow to manage the creation, update and inactivation of codes.	
G5	Describe how your structure is GASB (including GASB 34), and GAAP compliant	
G6	Describe how your system manages codes within sub-modules rolling up to summary ledgers (i.e. Project details in project costing with summary details by project in the General Ledger).	
G7	Describe how your coding structures integrate within financials, human resources, project management and other systems within your product line.	
G8	Describe how your system manages organization changes or reorganizations (i.e. cost center change from one year to another).	
G9	Does your structure allow for statistical accounts?	
G10	Describe any additional features that might be useful.	

VI. Encumbrance Accounting

MAG is looking for a system that provides the appropriate controls for encumbrance management. The system should have two components. The control component accounts for setting up the budget levels, thresholds and management of those throughout the year. The second component is the transactions processing throughout the system within integration of all modules. The transactions should be managed in each module including payroll, general ledger, purchasing, project accounting, grants management, etc.

	Question	Response
E1	Describe how your system manages encumbrance accounting?	
E2	Does your system provide budgetary control options? Describe the components available for budget checking and creating the encumbrance (fund, account, department)?	
E3	Does your system provide for the ability to create budget warnings when going over a budget but under a threshold?	
E4	Does your system allow for different transactions to be hard budget checked (stopped) and soft (tracking)?	
E5	Does your system allow for different levels of budget checking depending on transaction type (labor, non-labor) or code?	
E6	Does your system allow for thresholds on budget amounts? Different levels for different types (Capital at 5%, Payroll at 20%, Operating at 10%)?	
E7	Does your system allow for budget overrides to be managed by workflow with approval authorities?	
E8	Does your system allow for users to perform budget checks before transactions (i.e. purchase requests) are posted or submitted?	
E9	Does your system allow for users to view budget, encumbrance and actual balance when creating new transactions (i.e. purchase requests) through direct drill-down?	
E10	Describe how your system liquidates encumbrances.	
E11	Describe how your system updates encumbrances when information changes.	
E12	Does your system allow for online access to review encumbrance amounts	

	Question	Response
	and links to original transactions?	
E13	Describe any additional features that might be useful.	

VII. Budgeting

One of the core components of the business process is budgeting. There are essentially three required elements: Operational budgets including capital budgets, Project budgets and Contract budgets. These budgeting tools provide us with the ability to plan and communicate while also providing the backbone of encumbrance accounting. The solution must therefore feed information throughout the entire application suite. The coding structure utilized must be shared throughout the integrated solution. The solution must give us the ability to budget for the next fiscal year.

Operational budget formulation is straightforward. MAG requires a solution with continuous flow that allows users and reviewers to prepare and manage budgets online. The solution should allow for scenario planning and workflow to submit, approve, review or reject a budget during the process. Operational budgets are for expenditure line items and capital items and must feed into encumbrance accounting, purchasing, accounts payable and accounts receivable. During the budget process and throughout the year the ability to manage the submitted, approved, adjusted and final budget is required. Functionality should also be in place to manage transfers during the year and link budgets to grants and funding sources for tracking.

	Question	Response
B1	Describe how your budget system allows for top down guidance and communication.	
B2	Does the system provide for budget preparation and tracking on operating (including capital) budgets? (Operating budget by expenditure line item and capital budget by project/work breakdown structure.)	
B3	Does your system provide for labor or position budgets? Do these flow into the operating budget?	
B4	Can salary and benefit budget data be managed at a different level of security from normal application security?	
B5	Describe the budget process flow within your solution.	
B6	Can budgets be prepared by month, by quarter, and by year?	
B7	Describe the tools to allow for percentage calculations, spreading amounts evenly over multiple periods, spreading amounts by percent, etc.	
B8	Is there allocation functionality to allow managers to allocate budget amounts across departments?	

	Question	Response
B9	Can the system track multiple budgets throughout the year (approved, adjusted, and submitted)?	
B10	Does the system provide for hierarchy management so departments or cost centers can roll up?	
B11	Can the system track the relationships to grants and funding sources?	
B12	Does the system provide for attachments and justification from preparers? Does this information carry forward to the next year?	
B13	Does the system allow for budget transfers during the year (with justifications)?	
B14	Can users see prior year budgets or expenditures when preparing current year budgets?	
B15	On average, how long (in hours) does it take to prepare the system for the next years' budget cycle?	
B16	Does the system provide the ability to apply factors for salaries and other line items. for inflation/growth when forecasting?	
B17	Describe functionality that compares budget to transactions entered and validates current proposed expenditures?	
B18	Describe functionality that allows the user to view current year budget and expenditure amounts in the same view..	
B19	Does the application provide the ability to add notes to describe budget variances?	
B20	Describe any additional features that might be useful.	

VIII. Other General Ledger

Within the General Ledger MAG requires the ability to manage journal entries (adjusting, accruals, reversals, etc.), allocations, month and year end and financial reporting through the GL and workflows. The expectation is that the purchased system will be tightly integrated allowing the details to remain in sub-systems/ledgers while still providing drill-down capabilities from GL into those sub-systems for research and reporting.

	Question	Response
OG1	Describe how your system ensures the accuracy of data transferred from sub-modules into the General Ledger.	
OG2	Explain how your system supports compliance requirements of Sarbanes-	

	Question	Response
	Oxley for annual financial reporting.	
OG3	Describe how the system manages fund accounting.	
OG4	Does your system support both an accrual and a modified accrual basis of accounting for fund accounting? Describe the accrual(s) performed by the system.	
OG5	Does your system support the cash basis of accounting?	
OG6	Can the system support multiple/different fiscal years by ledger or by fund? This is particularly critical at fiscal year-end. How long can two different fiscal years be open and functional?	
OG7	Can the system manage financial transactions on multiple bases of accounting?	
OG8	How does the system reconcile with sub-modules/ledgers? If this is not automated please describe the process/tools used to reconcile should they become out of balance.	
OG9	How many periods does your general ledger system provide for month and year end activities?	
OG10	Does your system allow for multiple periods open at one time?	
OG11	Describe how the sub-modules post data to the General Ledger? Is this in summary or detail? Please elaborate each.	
OG12	Describe how your system can manage cash forecasting.	
OG13	On average, how many hours does it take to perform a month-end or year-end close?	
OG14	Describe any additional features that might be useful.	

IX. Grants Management

Grants are a major funding source at MAG. A Grants management system that is fully integrated with billings, budget, and General Ledger is a critical business process. In order to receive and manage funds, MAG requires the ability to code transactions by grants/funding source for reimbursement and reporting. MAG also requires functionality to associate budgeted funding with labor, consultants, pass-thru funding and direct costs. Budgets are used throughout MAG for operating processes and consultant and pass-thru. Budget and grant information is used to create encumbrances and subsequent contracts, and customer invoices. This information is critical in monitoring budget to actual costs for labor, consultants, pass-thru transactions, and direct costs. Billing information by the listed categories must be posted against grants and associated budgets for each fiscal year in order to manage these processes. All projects may be funded by one or multiple grants and may be across multiple fiscal years. The ability

to track this information as transaction flow-through process needs to be seamless. Grants management requires us to report details on behalf of whom, when and why monies were spent and what grant funds were used and the amounts used to fund projects by fiscal year.

	Question	Response
GR1	Are Grants "built-in" to your system or are they stand-alone? If stand alone, how does it interface with other components (e.g., Project Costing, Project Billing, Account Payables, Purchasing, Account Receivables, General Ledger, Fixed Assets, and HR).	
GR2	Are there any pre-requisites to have Grants installed in/with your system? If so, please explain these conditions in detail.	
GR3	Describe how your Grants system manages reporting.	
G4	Describe how your Grants system can track and report grants information by project and by fiscal year from multiple funds sources.	
G5	What date fields are available to track grant period of performance and expiration?	
G6	Does your grant system allow for reporting of grant financial activity across multiple fiscal years?	
G7	Describe how multiple projects are set up under a grant and how a project is set up to be funded by several grants.	
G8	Describe any additional features that might be useful.	

X. Accounts Receivable

In order to manage the accounts receivable function MAG requires tight integration with Billing. All changes to invoices must be done at the source therefore the functions that reside in accounts receivable are very limited. The focus is on managing collections with aging reports, receivable letters, interest charges on late balances, adjustments and tracking of receipts as well as voided invoices all linked by the customer listing. A number of customers are also vendors, it is therefore also important to have a link to accounts payable and the ability to track customer invoices. MAG receives some miscellaneous cash receipts periodically that will not be tracked against billings and Grants.

	Question	Response
AR1	Describe the fields available for creating and maintaining customer's definitions.	
AR2	Does your system allow for multiple locations for customers? Can these be used to create multiple invoices?	

	Question	Response
AR3	Does the system have the ability to define multiple customer listings which can in turn be made available to select end-users (example: two different business units with two different customer lists).	
AR4	Does the system provide the ability to check for duplicate customers automatically?	
AR5	Does your system provide templates to create similar customers?	
AR6	Describe how your accounts receivable application works with the grants and encumbrance accounting.	
AR6	Does your system provide functionality to link customer and vendors?	
AR7	Does your system provide functionality to net payables with receivables?	
AR8	Describe how your system is integrated with billings.	
AR9	Does your system allow drill down into billing for invoice details?	
AR10	Describe the different types of adjustments (i.e. discounts, credit memos, write offs) available and the process flow with optional approvals.	
AR11	Describe how your system enforces the audit trail from billing to accounts receivable to the general ledger.	
AR12	Describe how your system handles non-invoice cash receipts.	
AR13	Describe your system's ability to manage wire transfers.	
AR14	Describe any additional features that might be useful.	

XI. Billing

MAG has two types of billing: 1) the majority of billings are cost reimbursement billings for expenditures related to grants and 2) billings that occur prior to costs being expended. For billings that occur prior to costs expended, actual costs are then posted to grants management through the billing module as these eligible costs occur. These two functions required different tracking mechanisms and integration with projects, contracts, and grants as well as the ability to create bills with billing cutoff dates. The billing system must provide the ability to bill one project against multiple grants, and tracking this in the grants management system. In the current system, overhead costs are not posted to billings.

	Question	Response
B1	Describe how the system receives expenditure information by project for	

	Question	Response
	reimbursement invoices.	
B2	Describe how the billing system breaks out expenditure components into categories for labor, (using multiple rate tables for fringe and overhead) fringe, consultants, pass-thru and direct costs.	
B3	Does your system allow you to show contract amount, billed to date, past due and current billing?	
B4	Describe how your system handles overhead costs.	
B5	Can the system create recurring invoices based upon time based criteria?	
B6	Describe how the code structure can record invoices that require different codes based upon customer, grant, bill item, date or expenditures.	
B7	Describe how your system can customize invoices to meet certain regulatory or specific customer requirements.	
B8	Describe how templates can be used to create invoices.	
B9	Describe any additional features that might be useful.	

XII. Accounts Payable

The functionality needed from the Accounts Payable module can be considered standard. Ideally, functionality would exist to carry over vendor liability to Accounts Receivable for the purpose of fund/grant reimbursements. The AP invoice processing functionality should include the ability to check for duplicate transaction numbers on invoices, checks, etc. and allow for cancellation of invoices. The system should have the ability to interface with and automatically decrease commitments from contracts in part or in full and allow for direct entry of invoices and entry of recurring invoices. The system should include the ability to automatically calculate sales tax and/or use tax paid to a separate vendor. The system should be able to process electronic invoices, support electronic invoice approvals based on company-defined business rules, and route invoices for approval with a full audit trail. The system must allow entry of pending invoices with or without the general ledger account detail.

The system's payment processing functionality should include a wide range of selection criteria for payment generation such as by vendor, due date, discount date, regular AP versus payroll AP, and include the ability to flag invoices to prevent them from being paid and allow holdbacks. The AP system should have a selection of check printing options such as laser, line printer, stubs, and include the ability to process manual checks. The system should include the ability to pay by direct deposit, support a variety of electronic funds transfer formats and e-mail remittance advices. The system must have the ability to void and completely reverse out a payment and reopen an invoice for future payment. The system must allow for electronic automated bank reconciliation and positive pay formatting.

	Question	Response
AP1	Describe the fields available for creating and maintaining Vendor definitions.	
AP2	Does the system have the ability to define multiple vendor listings which can in turn be made available to select end-users (example: two different business units with two different vendor lists).	
AP3	Does your system allow for multiple locations for vendors? Can these be used to create multiple check payments?	
AP4	Describe any features that help identify duplicate vendors.	
AP5	Does the system allow a vendor to also be defined (flagged) as a customer for use within Accounts Receivable and Billing?	
AP6	Can changes to vendor information be future effective dated? Is there a limit to the number of future dated rows of data that can be entered?	
AP7	Can recurring invoices be generated from a template or one time entry?	
AP8	Describe the system's ability to process wire transfer payments.	
AP9	Describe the check printing process.	
AP10	Does the system have the ability to process direct deposit and electronic funds transfers?	
AP11	Describe functionality that applies to processing credit card transactions.	
AP12	Provide details on calculating taxes and distribution.	
AP13	Describe the system's ability to split dollar amounts (either by percentage or dollars) across more than 1 combination of codes.	
AP14	Describe the functionality that allows for holding payments.	
AP15	Provide details on bank account reconciliation and how this is integrated with the AP and AR systems.	
AP16	Please list the types of 1099 forms that are supported within the application.	
AP17	Describe your application's matching functionality, specifically how matching is done against the encumbrance system.	
AP18	Describe any additional features that	

	Question	Response
	might be useful.	

XIII. Purchasing

The functionality needed from Purchasing can be considered standard. Currently, Purchase Requests are done manually and off-line. MAG would like the ability to create and route Purchase Requests online with the appropriate budget approvals and encumbrances. The agency does not expect to implement workflow functionality immediately, but would like to have the ability to do so once the core module is up and running smoothly.

	Question	Response
P1	Does your system provide the capability to enter online requisitions?	
P2	Please provide details on recommended best practices for encumbering funds during the requisition and purchase order creation processes.	
P3	List and describe features and functionality used in the fiscal year-end close process, particularly features and functionality that help identify outstanding purchasing orders and related fund amounts.	
P4	Describe functionality that allows requisitions and purchase orders to be created from a contract that spans multiple years. How is it done in your application?	
P5	Describe the dispatch process and features, including the ability to email or send purchase orders electronically.	
P6	What attachment features are available with Purchasing? Attaching files to Vendors and purchase orders in particular. What file types are supported?	
P7	What notes and message features are available? Vendor and purchase order notes and messages, including internal notes and messages versus external notes and messages that would be visible to Vendors.	
P8	Describe functionality that captures vendor certification and licensing.	
P9	Does the system provide the ability to create a sub-contract requisition and purchase order where the service provider is different from the vendor responsible for payment?	
P10	Describe the receiving process for	

	Question	Response
	services (vs. the receipt of goods). How many steps are involved?	
P11	How are factors/attributes such as SBE, M/WBE and DBE identified and used in the process?	
P12	Please describe how budget checking is done when a requisition is created and then again when the requisition becomes a purchase order.	
P13	Does your system provide receipt of non-stock (i.e. consulting or engineering services)?	
P14	Describe how your system manages purchase orders that are open for multiple years.	
P15	Describe any additional features that might be useful.	

XIV. Contract Administration

MAG contracts with many outside consultants for services. Most contracts are setup and linked to grants that include the project(s) and funding source(s) from the Grants Management system. Contracts should also have the ability to be linked to billing. One contract per vendor is set up and one contract may include several projects with multiple funding sources. Contracts are required in order to manage the disbursement of funds. Some contracts may not be linked to Grants Management and billings if the contract is linked to overhead funding. Contracts Administration must include the ability to enter contractor insurance information to ensure that the required insurance is in place and active before making payment to the vendor. Insurance types and associated expiration dates must be entered in contracts and expired insurance data must be flagged in the Accounts Payable System before payment is made. Subconsultants to a Consultant must be tracked on a contract in order to obtain information on whether the consultant and/or subconsultant is a Disadvantaged Business Enterprise (DBE). DBE information must be entered in the contract module for both the consultant and subconsultant(s) for the contract. MAG must also have the ability to report on all information in Contracts Administration in order to meet Federal requirements. This information includes expiring insurance on contracts, payments by consultant/vendor, MAG project manager of a contract(s), all payment information, remaining contract amounts, payment due dates, contract begin and expiration dates, payments by funding source, payments by activity type, DBE payments, etc. It is also desirable that contracts be linked to Accounts Receivable in the case of overpayments.

	Question	Response
C1	How are contracts linked to grants, billing and what fields are available to link a contract to a grant?	
C2	Can a single contract be used in accounts receivable, billing, accounts payable and encumbrances?	
C3	What fields are available to identify contract attributes?	
C4	Are user-defined fields available for less common contract attributes?	

	Question	Response
C5	Is there an ability to identify the split of revenue sources related to the contract (i.e. amount of various grant funds tied to the contract as well as overhead funding)?	
C6	Is there the ability to link contracts to one or more projects?	
C7	How are contract numbers assigned and managed?	
C8	What screens/pages are available to manage contracts?	
C9	Describe the functionality used to manage contract expiration.	
C10	Describe the functionality used to manage vendor/contractor licensing, certifications, and insurance certificates and other types of compliance functionality.	
C11	Describe how subconsultants on the contract are paid by the consultant are entered and tracked.	
C12	Is there a single screen/page available to view all activity related to a given contract?	
C13	Describe how a contract is set-up with all of the functionality required.	
C14	What capability exists to track contract change orders - Pending / Executed/Change amount versus contingency budget Update/Monitor Revised Contract Sum for payment control	
C15	Ability to modify non-essential parts of a commitment while keeping the commitment under its original assigned number. For example, if the vendor has a name change during the contract period, being able to link both vendor numbers to one commitment number and keep all related information together.	
C16	Describe how your encumbrance system links and/or is integrated with the contracts process.	

XV. Project Accounting

MAG currently manages a number of projects with a particular need to management project phase, task, sub-task, project scope and project labor, consultant, pass-thru and direct budgets as well as resources. Projects may be linked to Contract Administration processing, Grants Management, Accounts Payable,

and General Ledger (as a sub-ledger). Projects are set up with an associated MAG project manager, fiscal year, funding source, activity code, GL interface account, budget, link to Grants Administration, billing, and possibly and interface with accounts receivable. The expectation is that that project tasks and sub-tasks would have the ability to be set-up and linked in a similar manner as a project

	Question	Response
PA1	Describe the integration of the project accounting module to the other modules within the application, including and especially Grants Management and billing.	
PA2	Describe the level of budget detail that can be defined at each level in the project (tasks, sub-tasks).	
PA3	Describe how tasks and sub-tasks are linked to a project.	
PA4	Describe the process of making changes to the project (and task and sub-task) and how those changes can be applied to existing active projects.	
PA5	List the fields available for defining a project, a task, a sub-task.	
PA6	Does project accounting allow for setting up approved budgets by project, task, sub-task for different expenditure types?	
PA7	Describe any approval features with projects (tasks, sub-tasks), i.e. how project (task, sub-task) managers can approve project (task, sub-task) status.	
PA8	Does project accounting have the ability to enter and track projects by General Ledger account?	
PA9	Does project accounting have the ability to enter and track projects by Project Activity Line Item?	
PA10	Describe any additional features that might be useful.	

XVI. Human Resources/Timesheets/Payroll

MAG seeks three components under this section: employee information tracking, time entry and payroll. These functions will form the backbone for required future functionality and also the ability to automate the labor information required to manage project financials. Employee information tracking needs to provide a centralized storage area for employee information, classification, headcount tracking, leave, termination, compensation, benefits etc. The second component is an automated timesheet. This solution needs to track employee time (hours) by project, funding source and activity labor code (in this order). Although MAG uses a 3rd party to outsource payroll, payroll must be processed in order to send time and costs to project accounting, billing and overhead as well as General Ledger. Timesheet entries must be processed as payroll with the ability to make changes that are reflected throughout the system until a payroll post function is performed. All payroll entries must be posted within financials with rates and employee name. Posted Time must be controlled and the information details available for drill down

and printing on billing invoices. Summary information for labor should also be available as an option to print on billing invoices. Must have the ability to change payroll time, funding source and activity and must be able to process labor against a rate table (and reprocess if needed) in billing prior to producing a billing invoice. Payroll will be outsourced (currently through PAYCHEX), so the information within human resources must provide the necessary information to enable the agency's payroll provider to issue payroll. This information must be provided electronically for MAG and will require the selected FIS consultant to work with PAYCHEX to produce this file.

	Question	Response
HRP1	Describe the business function offerings of your human resource system to include HRIS, HRMS, Benefits-Administration, Employee Self-Services, Talent Management, Performance Management, Succession Planning, Time Entry, Reporting, Metrics and Payroll (as described in Appendix L Human Resources Information System).	
HRP1	Describe how the electronic timesheet works and describe how time entries are entered. (Note that each employee must enter their timesheet and timesheets must be entered by project, funding source and activity--in that order- with ability to edit until approved.).	
HRP2	Describe how your system manages timesheets and approvals.	
HRP3	Does your system provide audit records for data changes?	
HRP4	Describe how your timesheet system supports tracing paid and unpaid FMLA time.	
HRP5	Describe the capabilities of your system to perform mass updates to employee data.	
HRP6	Describe the fields available and any user-defined fields available in Human Resources (i.e.: fields available for applicant tracking and related, Background checks, resumes, applications --as attachments--etc).	
HRP7	Can your system manage employee absence request and approvals? How are absences validated against sick, vacation, personal leave and other potential balances?	
HRP9	Describe the payroll solution and all information that is maintained in payroll. Also describe availability of user-defined fields.	
HRP9	Describe how your payroll application	

	Question	Response
	integrates with the Human Resource solution.	
HRP10	Describe how your solution works with an outsourced payroll provider like PAYCHEX. Describe in detail how data can be transmitted electronically to an outsourced payroll vendor.	
HRP11	Describe the integration of time sheets with payroll.	
HRP12	How can your timesheet system be set up so that available projects, funding source and activities are controlled by the MAG payroll division?	
HRP13	Can your system handle recording standard payroll time and cost charges to billing, projects and the general ledger?	
HRP14	Can your system provide labor details by project or grant with employee name, rate, and hours for expenditure tracking and billing? Is this automated?	
HRP15	Describe "data validation masking" capabilities related to time entry, i.e. restricting users to charge time to only authorized projects.	
HRP16	Describe the payroll interface with the billing solution and how payroll changes are made.	
HRP17	Describe any interfaces that your Human Resources system may have with any Applicant Tracking Systems.	
HRP18	Describe any additional features that might be useful.	
HRP19	Describe any features of the HR system that allow for benefit enrollment.	

XVII. HRMS Reports

The table below displays reports that are desired from an HRM system. Please indicate if your system delivers the report.

Report	Delivered?	Module(s) where report is contained
Absences Report		
COBRA Expiration Letter		
COBRA Payments Report		
EEO Consolidated Report		

Report	Delivered?	Module(s) where report is contained
Employee Benefit Eligibility Listing		
Employee Benefit Enrollment Register		
Employee Organization Movements Report		
Employee Summary Report		
Full Applicant Details Report		
New Hire State Report		
Organization Hierarchy Report		
Position Hierarchy Report		
Requisition Summary Report		
Salary Review Report		
Staffing Budget Details Report		
Termination's Report		
Arizona State Retirement System (ASRS) Reporting (retirement contributions)		

XVIII. Breakdown of Costs and Estimates

	Question	Response
Cost1	What are the costs for hardware and software installation and configuration costs?	
Cost2	What are the estimated recurring upgrade costs?	
Cost3	How much should MAG expect to spend on professional services for implementation? What is the ratio of software costs to implementation costs?	
Cost4	What additional support costs should MAG budget beyond support within the standard license agreement?	
Cost5	What are the expected training costs during implementation? How much time have you budgeted onsite for training? How is implementation support provided when your staff is not onsite?	
Cost6	What information will be converted? What are the costs for converting existing data?	
Cost7	What is the estimated total cost of the system for 5 years?	

XIX. Critical Reports

Critical and Standard Reports Listing and Classification

Number	Report	Classification
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Number	Report	Classification
1	Accounts Payable Aging	Critical
2	Accounts Receivable Aging	Critical
3	Budget to Actual Report by GL and by Project (for any year budget entered)	Critical
4	CAFR-Activities	Critical
5	CAFR-Budget Performance	Critical
6	CAFR-Cash Flow	Critical
7	CAFR-Net Assets	Critical
8	CAFR-Revenues, Expenditures & Changes in Fund Balance	Critical
9	Contract Expiration	Critical
10	Contract Awards	Critical
11	DBE, MBE, WBE Procurement	Critical
13	Project Expenditures & Status (Inception to Date)	Critical
	Work in process (WIP) Billing Reports for both billed and unbilled WIP; billing must be by project, or by grant (or both)	Critical
14	Coding Structure	Standard
15	Contracts, Encumbrances	Standard
16	Grants Management/, Revenue/Reimbursement	Standard
17	Cost Center/Department Expenditures	Standard
18	Customer Invoices	Standard
19	Customer Listing	Standard
20	Journal Transaction Summary & Details	Standard
21	Encumbrances and Encumbrance Activity	Standard
22	Active and Inactive Payroll Listings with Payroll information	Standard
23	Payroll Register	Standard
24	General Ledger Reports	Standard
25	Trial Balance	Standard
26	Vendor Listing	Standard
27	Human Resources Reports	Standard
28	Billing Invoices	Standard

XX. Key Requirements

Please respond to the following KEY REQUIREMENTS

	KEY REQUIREMENTS	Responses
KEY	GASB compliant—fully capable of meeting standard governmental accounting and reporting requirements	

KEY	Windows-Based Application capable of running in MAG's environment, i.e., Windows XP, 32 bit; Windows 7, 64 bit; Windows Server 2008R2; MSSQL Server 2008 with plans for 2008 R2 or 2012 in October 2012; and, Gigabit Ethernet; must be an on premise system. MAG is a Microsoft Technology Shop.	
KEY	Data Export and Import Capabilities; in particular, ability to import data into the system and ability to export out of the system.	
KEY	Implementation and historical data import to limit downtime and research using transaction history;	
KEY	Ability to add accounts, Program Codes, Task, Funding Sources, etc. easily;	
KEY	Must provide ongoing support and maintenance for the first year; must provide projected maintenance costs per year for first five years;	
KEY	Enterprise Resource Planning (ERP) System solution required for core accounting. Core accounting modules that must be integrated include Financial Reporting, General Ledger, Payroll, Encumbrance Accounting, Accounts Receivable, Accounts Payable, Grant Contracts, Billing and Project Accounting and Management. Prefer the integration of all modules including Human Resources, Cash Management and Fixed Assets.	
KEY	Preference given to systems that have all integrated functionality out of the box with support. Any custom modifications that must be made to the software to support the integrated functionality must be explained in detail	

APPENDIX L - KEY REQUIREMENTS AND FUNCTIONAL REQUIREMENTS

KEY REQUIREMENTS

- GASB compliant – fully capable of meeting standard governmental accounting and reporting requirements;
- Windows-Based Application capable of running in MAG's environment, i.e., Windows XP, 32 bit; Windows 7, 64 bit; Windows Server 2008R2; MSSQL Server 2008 with plans for 2008 R2 or 2012 in October 2012; and, Gigabit Ethernet; must be an on premise system. MAG is a Microsoft Technology Shop.
- Data Export and import Capabilities;
- Implementation and historical data import to limit downtime and research using transaction history;
- Ability to maintain all existing functionality; this includes a Report Writer application for all modules and includes the ability to put custom fields on reports.
- Ability to add accounts, Program Codes, Task, Funding Sources, etc. easily;
- Must provide ongoing support and maintenance for the first year; must provide projected maintenance costs per year for first five years;
- Enterprise Resource Planning (ERP) System solution required for core accounting. Core accounting modules that must be integrated include Financial Reporting, General Ledger, Payroll, Encumbrance Accounting, Accounts Receivable, Accounts Payable, Grant Contracts, Billing and Project Accounting and Management. Prefer the integration of all modules including Human Resources, Cash Management and Fixed Assets.
- Preference given to systems that have all integrated functionality out of the box with support. Any custom modifications that must be made to the software to support the integrated functionality must be explained in detail.

Functional Requirements

(All modules should be integrated working in a database environment to reduce duplicate entry)

The following accounting software modules and/or functionality is needed:

- **Technical Architectural Requirements**
 - Windows-Based Application capable of running in MAG's environment, i.e., Windows XP, 32 bit; Windows 7, 64 bit; Windows Server 2008R2; MSSQL Server 2008 with plans for 2008 R2 or 2012 in October 2012; and, Gigabit Ethernet; must be an on premise system.
 - Applications and processing only performed on-premise.
- **General Ledger** (approximately 36,000 entries per year including subledger interface; also accounts for approximately 8 funds at the fund level)

- User-defined account numbers with fund-division-base account (with ability to handle multiple funds defined as the General Fund, Special Revenue Funds, one fund for each blended component unit, and multiple other funds as defined by MAG within the General Ledger)
- Multiple levels (fund, division, base account) example of an account number currently used 01-0600-6380 (expense item) where 01= fund, 600=Program Code (division), 6380- expense line item (base account)
- Cash and/or accrual basis of accounting
- Drill down capability by journal entries/subledgers (fund, Activity, project cost, G/L acct #, etc.)
- Interface of G/L with other modules' accounting transactions (and reconciliations with all subledgers)
- Ability to have concurrent processing of transactions for at least 6 accounting periods before the prior period year is closed
- Fiscal year end closing (fiscal year runs from July 1 to June 30)
- Automated bank reconciliation
- Ability to process for multiple entities with separate Fed Tax ID's
- **Financial Reporting** (approximately 10 funds currently)
 - Produce reports based on user-defined dates (quarterly, monthly, annual) and roll up level (fund, division, project, cost center)
 - Trial Balance (Detailed and Summary)
 - Income Statement (Detailed and Summary, Budget vs Actual, etc.)
 - Balance Sheet (Detailed and Summary)
 - General Ledger- Current and Year-to-date ledger
 - Report Writer (ad-hoc reports; with the ability to add-in encumbrances)
 - All reports can be produced at a fund level as well as on a consolidated basis.
- **Accounts Receivable/Cash Receipts** (approximately 1,200 entries per year)

Produce, on screen or in print, the following reports:

 - Detailed Aging Report (by Grant Agreements (funding Source(s))/or by Customer)
 - Transaction History Report
 - Delinquent letters and reports
 - Prepayment Report
 - A/R Statement Report
 - Ability to enter cash receipts against billings and for stand-alone cash receipts

- Cash Receipts Report
- **Accounts Payable/Cash Disbursements** (approximately 3,000 A/P and 2,400 Checks per year)
 - Ability to create a requisition and pay an invoice without a purchase order
 - Ability to access vendor from both Purchasing and Accounts Payable modules
 - Warning for duplicate invoice entry
 - Avoid duplication of vendor entry
 - Payment to vendors for commitments that are set up should have a warning at the time of data entry if the payment amount exceeds the commitment amount
 - Commitments should have fields to enter insurance information; if insurance is expired, a warning should be displayed that the insurance is expired at the time of entry for payment
 - Maintain history
 - Aging capabilities
 - Drill down capabilities
 - Produce checks
 - Ability to make partial payments
 - Allow multiple invoice payments on one check
 - Produce manual checks and update system
 - Ability to link back to original purchase order
 - Produce 1099 forms
 - Ability to produce the following reports:
 - Invoice Journal Report (daily)
 - Open Invoice Report
 - Cash Disbursements Journal
 - Check Register (date driven)
 - Expenditure Reports (date driven)
- **Purchasing/Encumbrance Accounting** (approximately 1,500 encumbrance entries per year)
 - Ability to create a purchase order/Encumbrance
 - Encumbrance accounting with or without a specific vendor set up on the encumbrance
 - Matching of receiving documentation
 - Open purchase order report

- Interface with Accounts Payable system
- Ability to report on Budget/Expenses/Encumbrances
- **Project Costing and Commitments** (approximately 30,000 project entries per year)
 - Integration with other modules
 - Project accounting maintenance capabilities (add, edit, delete)
 - Ability to account for multi-year projects and multi-funded projects
 - Ability to budget for Program Code /Task/Fiscal Year (together these are called a Project)
 - Commitments (contracts) are set up for 100–200 consultants at any one time based on encumbrances approved at the beginning of the year; some commitments may not be encumbered.
 - Ability to enter miscellaneous project costs.
- **Grants Management** (approximately 25-50 grants per year)
 - Integration with other modules; must have billing interface so that Program Codes/Tasks/Activities can be posted against grants.
 - Grant accounting maintenance capabilities (add, edit, delete)
 - Ability to account for multi-year projects and multi-funded against multiple grants
 - Ability to budget grants (funding source) by Activity (Activities for these purposes include L= Labor, C=consultant, P=Pass-thru, D=Direct Costs)
- **Billing module with Cost Allocation** (approximately 15,000 billing entries per year)
 - Ability to pool overhead and fringe benefit costs
 - Ability to enter different rate tables for different Grants.
 - Ability to allocate costs based on user-defined basis (hours, salaries, percentages, etc.) using marked up rates (different rate tables may be assigned to different projects)
 - Billing – must have Work In Process (WIP), ability to make WIP changes, ability to generate and re-generate WIP against Grant Agreements (funding source(s))
- **Fixed Asset Management** (approximately 500 fixed assets)
 - Ability to calculate depreciation and generate journal entry
 - Ability to track assets with multiple Funding Sources
 - Ad-hoc and querying capabilities
 - Generate reports for additions, deletions, and transfers of fixed assets by:
 - Fund

- Asset Category
- **Budgeting** (must be able to budget by both GL Base Account and Project by Activity Type)
 - Ability to create and retain multiple versions for budgeted Program Code/Task/Activity in projects and ability to budget by GL account number/ ability to set up encumbrances/budget for grants.
 - Information to support budget and revisions each Fiscal Year on an on-going basis
 - Ability to support mass budget changes by percentage or amount at user-defined organizational level
 - Ability to perform mathematical operations that may be performed during on-line budgeting process, including fiscal period spread of annual totals and use of percentages and amounts as growth factors applied to budget numbers
 - Ability to allocate overhead to cost centers in budget preparation
 - Ability to commit adopted budget information to financial database for comparative reporting versus actual and encumbered amounts
 - Ability to track total budget and costs for projects and account numbers and grants
 - Allow for budgeting with multiple funding sources
 - Ability to report project sources and uses of funds similar to a profit and loss statement for a project
- **Electronic Timekeeping / Timesheets** (approximately 95-105 employees, bi-weekly timesheets with approximately 6 different projects per employee)
 - Time sheet entry by Program Code/Task/Fiscal Year/Activity/Funding Source
 - Ability to integrate with cost Allocation module through time entry that allows employees to post time against Program Code/Tasks/Activity=Labor codes and select funding source for each timesheet entry
 - Ability to close a time period
 - Allow each employee to enter their own time sheet with automated approval of assigned manager
- **Commitments** (approximately 200 commitments per year)
 - Ability to set up commitments(contracts) with consultants (vendors) (should interface with the Purchase Order/Encumbrance system)
 - Ability to track projects through the commitments (Program Code/Task/Activity postings interface with the commitments module). Ability to set up individual or multiple Program Code/Task/Activity combinations by commitment number
- **Payroll** (currently approximately 95-105 employees, bi-weekly)
 - Ability to process payroll in-house/or to process party with third party vendor and post entries for cost allocations and billings (by Program Code/Task/Fiscal Year/Activity/Funding Source)Ability to produce all federal and state required reports

- Produce registers for gross pay, taxable pay, each tax (ee and er), deductions,
- Produce and edit capability for W-2's
- Process checks
- Employee payroll records with ability to assign employee title and set up timesheet approval rights by type
- Ability to handle multiple tax tables at the state and local level.
- Ability to maintain month, quarter-to-date, year-to date totals by employee on every pay type, deduction, tax, etc.
- Ability to set up multiple pay types
- Ability to set up custom fields as needed and maintain information
- Ad hoc reporting capability (Report Writer)
- **Human Resources Information System** (approximately 105 positions with 3-4 positions unfilled per year, receiving about 100 resumes per position)
 - Employee life-cycle management
 - Ability to view employee personal information
 - Position/Salary histories
 - Length of services
 - Leave of absences/time-off management
 - Current work status/Immigration status
 - Training history/skills/certifications/degrees
 - Performance management
 - Succession goals
 - Benefit Administration
 - Employee self service
 - On-board/off-boarding interface
 - Full-cycle recruiting/talent management
 - Online application
 - Applicant tracking system (ATS)
 - Applicant response capability

- Ability to set up custom fields as needed
- Ad hoc reporting capability (Report Writer)
- Simple solution for integrating HRIS with Payroll, Benefits, Time Management, and other HR applications.

APPENDIX M – ACCOUNTING HIERARCHY

Financial Information System (FIS) and Human Resource Management System (HRMS)

ACCOUNTING HIERARCHY

The Agency uses the following accounting hierarchy for financial reporting:

Program Code (*highest level*) – A Program Code is an organized set of projects directed toward a common goal such as Transportation Program Code (600) or Information Services Program Code (800). (MAG has a minimum of 13 Program Codes which are currently used- with more to possibly be set up-- with numerous Tasks and associated Activities that the system must be able to handle.)

MAG currently has the following Program Codes: 100= Environmental Program Code; 200=Public Works Program Code, 300=Human Services Program Code, 400=separate 501 (c)(3) for RCP Human Services Program Code, 500=Program Implementation Program Code, 600=Transportation Program Code, 700=separate 501(c)(3) for MAGIC Socioeconomic Program Code, 800= Information Services Program Code, 1000 =administration Program Code; within the 1000 Program Code we track separately, but roll up to 1000, the following Program Codes: 1100=Communications Program Code, 1200=Fiscal Services Program Code, 1300=Information Technology Program Code, 1400=Office Services Program Code.

Additional Program Codes will be added in the system.

Specific Task (*always associated with a Program Code*) – a specific and distinguishable service performed for the purpose of accomplishing a program. Examples of Tasks for the Transportation Programs (600 Program Code) and Information Services Programs (800 Program Code) are shown in the example below. However, all Program Codes will have multiple tasks.

(Note that MAG currently has a minimum of 15 programs and numerous related Tasks and Activities within the program that the system must be able to handle- it is possible that more will be added).

Examples of specific Tasks that fall under the Program Codes are as follows: Program Code 100 could have Tasks 100-0110-12, 100-0310-12, etc.; Program Code 200 could have Tasks 200-0110-12, 200-0120-12, etc.; the next fiscal year Program Code 100 could have Tasks 100-0110-13, 100-120-13, 100-0310-13, etc.

Fiscal Year linked to Program Code and Task combination – the fiscal year for which the program and associated Task are eligible for funding. It is important to be able to attach a fiscal year to the specific funding sources in the form of Program Code and Task for funding, budgeting, expense and reporting purposes. Multiple fiscal years may be funded by a single funding source (see **Funding Source** below) for grant funds that are not completely spent during the fiscal year in which they were awarded; these fund are then carried forward to fund future fiscal year Program Codes/Tasks.

Sample Projects

*** Fiscal Year (runs from July 1 to June 30)**

600 Transportation Program Code (Task setup for FY 2011)

600-0010-11	Transportation Planning (Task for FY 11)
600-0120-11	Regional Highway Planning (Task for FY 11)
600-0631-11	Transportation Modeling (Task for FY 11)

(There are many more Program Codes and related Tasks. This is only a sample.)

600 Transportation Program Code (Task setup for FY 2012)

600-0010-12	Transportation Planning (Task for FY 12)
600-0120-12	Regional Highway Planning (Task for FY 12)
600-0631-12	Transportation Modeling (Task for FY 12)

(There are many more Program Codes and related Tasks. This is only a sample.)

Funding Source(s)

In addition to tracking the Program Code, Task, and fiscal year, Program Code/Task/FY must be tracked and attached to funding source(s). Funding sources are typically grants from either the Federal Highway Administration (FHWA) or the Federal Transit Administration, and MAG has any number of types of funding sources such as member dues, state grants, local funding sources, etc. Multiple funding sources may fund one or multiple Program Code/Task/FY project combination.

Program Code/Task/ * Fiscal Year(xx) =PROJECT Funding Source (examples)

(funding sources below represent the many different types of funding that can fund one project (ie., 600-0010-12).

600 Transportation Program Code

600-0010-12	Transportation Planning (Task)	FY 2012 SPR(FHWA Grant) FY 2011 STP (FHWA Grant) FY 2010 DOT (Local Funds)
600-0120-xx	Regional Highway Planning (Task)	FY 2011 PL(FHWA Grant) FY 2012 SPR (FHWA Grant) FY 2011 FTA (FTA Grant)
600-0631-xx	Transportation Modeling (Task)	FY 2012 SPR(FHWA Grant)

800 Information Services Program Code

800-0110-12	Geographic Information Systems (Task)	FY 2012 SPR(FHWA Grant) FY 2011 STP (FHWA Grant) FY 2010 PARTNER(Local Funds)
800-0120-xx	Socioeconomic Updates(Task)	FY 2011 MEMBER (Local Funds) FY 2009 SPR (FHWA Grant) FY 2010 FTA (FTA Grant)
800-0150-xx	Socioeconomic Research & Analysis (Task)	FY 2010 STP (FHWA Grant)

Each funding source is currently set up in the current software as a "CONTRACT"; multiple Program Code/Task/Activity combinations over many different fiscal years can be funded by a CONTRACT. An example is shown below:

CONTRACT for SPR 2012 is set up as funding source: 2012-1040-10

(Example contract number: 2012-1040-10 where 2012 = fiscal year of funding award, 1040=funding grantor account number, such as the DOT, 10= number representing type of funding, in this example SPR. The contract number for SPR 2011 is funding source: 2011-1040-10.)

A funding amount is assigned for the total contract and Program Code/Tasks/Activities are budgeted for this contract and expenses are posted to the contract.

Example: Program Code/Tasks/Activities Posted against the contract (funding source):

		Budget	Expenses	Remaining
2012-1040-12	SPR 2012 Grant Contract = \$1,000,000			
600-0631-12	Transportation Modeling project Consultant:	\$640,000	\$500,000	\$140,000
	Labor:	\$30,000	\$10,000	\$20,000
100-0410-12	Air Quality Implementation Labor:	\$120,000	\$30,000	\$90,000
	Pass-Thru:	\$10,000	\$0	\$10,000
200-0210-12	Public Works Pass-Thru:	\$100,000	\$5,000	\$95,000
	Direct:	<u>\$100,000</u>	<u>\$100,000</u>	<u>\$0</u>
	Total contract 2012-1040-12:	<u>\$1,000,000</u>	<u>\$645,000</u>	<u>\$355,000</u>
	Total Labor:	\$150,000	\$40,000	\$110,000
	Total Consultant:	\$640,000	\$500,000	\$140,000
	Total Pass-Thru:	\$110,000	\$5,000	\$105,000
	Total Direct:	\$100,000	\$100,000	\$0

The Grant CONTRACT reflects the budgeted amount by each Activity (ie, L=Labor, C=Consultant, P=Pass-Through, and D=Direct), the fiscal year to date billed amount for each Program Code/Task/Activity, and the remaining amount.

- **General Ledger** (approximately 36,000 entries per year including subledger interface)
- **Financial Reporting**
- **Accounts Receivable/Cash Receipts** (approximately 1,200 entries per year)
- **Accounts Payable/Cash Disbursements** (approximately 3,000 A/P and 2,400 Checks per year)
- **Purchasing/Encumbrance Accounting** (approximately 1,500 encumbrance entries per year)
- **Project Costing** (approximately 24,000 project entries per year)
- **Grants Management** (approximately 25-30 grants per year)
- **Billing module with Cost Allocation and Billing Rates** (approximately 15,000 billing entries per year)
- **Fixed Asset Management** (approximately 500 fixed assets)
- **Budgeting** (must be able to budget by both GL Base Account and Project with Activity Type)
- **Electronic Timekeeping / Timesheets** (approximately 95-105 employees, bi-weekly timesheets with approximately 6 different projects per employee)
- **Commitments/ Contracts (with outside consultants/vendors)** (approximately 200 commitments per year)
- **Payroll** (approximately 95-105 employees, bi-weekly)
- **Human Resources Information System**