

Request for Proposals 1099

for an

Enterprise Resource Planning (ERP) System Selection



Issue Date: September 23, 2020

Closing Date: October 28, 2020

**Pre-Proposal Meeting (Non-Mandatory):
October 7, 2020**

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PUBLIC NOTICE

REQUEST FOR PROPOSALS 1099

FY20 - RFP for an Enterprise Resource Planning (ERP) System Selection

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for the FY20 - Enterprise Resource Planning (ERP) System Selection. The purpose of the project is to select a new ERP Solution to support MAG's business needs.

Detailed proposal requirements may be obtained by downloading from the MAG website at: <http://www.azmag.gov>, then "RFPs and RFQs." For further information, please submit questions in writing by email to Brian.Pesis@plantemoran.com not later than **October 14, 2020 at 4:00PM MST** (Mountain Standard Time). Responses to questions will be posted on MAG's website at <http://www.azmag.gov> under "RFPs and RFQs" no later than **October 21, 2020**.

Proposals will be accepted until **October 28, 2020 at 4:00 PM MST** (Mountain Standard Time).

1 Introduction

1.1 Overview

The Maricopa Association of Governments is interested in soliciting proposals from qualified providers of municipal software whose product offering meets or exceeds current MAG requirements and whose complete product offering provides a robust solution set that will allow MAG to continue to leverage this investment well into the future as the needs of MAG grow and evolve.

Definitions

The following definitions are used in the RFP:

Client or MAG means the Maricopa Association of Governments.

Plante & Moran, PLLC: MAG's consultant and co-project manager for the project.

Vendor or Proposer means a firm, company or organization submitting a proposal in response to this RFP.

ERP, the system or software means the software solution that the successful Vendor responding to this RFP will be responsible for providing.

1.2 MAG Background

The Maricopa Association of Governments (MAG) is a Council of Governments (COG) that serves as the regional agency for the metropolitan Phoenix area. When MAG was formed in 1967, the elected officials recognized the need for long-range planning and policy development on a regional scale. They realized that many issues such as transportation and air quality affected residents beyond the borders of their individual jurisdictions.

MAG was founded in the spirit of cooperation. MAG members believe that by uniting, they can solve common problems, take an active role in long-range regional issues and address concerns that affect all of the communities.

MAG is the designated metropolitan planning organization (MPO) for transportation planning in the Maricopa metropolitan region. MAG also has been designated by the Governor to serve as the principal planning agency for the region in a number of other areas, including air quality, water quality management and solid waste management. In addition, through an Executive Order from the Governor, MAG develops population estimates and projections for the region.

1.3 Project Background

To support key business processes, MAG currently utilizes Microsoft Dynamics AX 2012 as the ERP solution, alongside custom code/overlays known as Tyler Insight Extensions (TIE) developed by Tyler Technologies, and numerous spreadsheets. Microsoft will end mainstream support for Dynamics AX effective December 2021, as will Tyler for its Tyler Insights Extensions. MAG currently is utilizing Paychex as an external payroll provider and is considering moving this process in-house. MAG engaged Plante Moran to assist in assessing current business process requirements and assist with the selection of a replacement ERP system. MAG desires that the core functionality defined in section 1.6 is implemented by this date. MAG would request that the Vendor keep in mind MAG's preference to follow best practices and go live with the financial portion of the solution at the beginning of their fiscal year, July 2021. However, MAG will take into consideration Vendor recommendations.

1.4 Current Application Environment

Legend Code	Description
Replace	MAG will replace this application as part of the ERP system selection.
Consider	MAG will consider replacing this application with the ERP solution, based on the strength of the finalist Vendor offering and cost/benefit of the replacement module.
Maintain	MAG will retain the application, not replacing it through the ERP system selection.
Interface	MAG will keep the application and interface/integrate it with the selected ERP solution.

#	System/Shadow Spreadsheet	Application Notes/Description	Future Disposition
1	MS Excel ASRS Retirement Plan	Tracking of contributions and adjustments to employee retirement plans.	Replace
2	MS Excel Consultant Page	Spreadsheet used to track consultant agreements contract amounts to expenditures.	Replace
3	MS Excel Fiscal Year Line Item	Spreadsheet to track the line item budget summary by division.	Replace
4	MS Excel Fixed Assets	Spreadsheet used to track fixed assets, leases, long-term obligations, depreciation, and disposals management.	Replace
5	MS Excel FY Plotter Page	Tracking of budget detail and amendments.	Replace
6	MS Excel Grant Reimbursements	Tracking of invoices, transactions, percent complete, for grant reimbursement.	Replace
7	MS Excel ICMA Nationwide	Tracking of ICMA and Nationwide contributions for deferred compensation.	Replace
8	MS Excel In-kind	Tracking of in-kind grant information.	Replace
9	MS Excel Medical, Gym, Tuition	Tracking of payments for medical, gym and tuition expenses by employee for reimbursement purposes.	Replace
10	MS Excel Payroll Adjustments	Spreadsheet used to true up AX/Paychex and clear salaries for the pay period.	Replace
11	MS Excel Physical Inventory Listing	Tracking of furniture, fixtures and equipment.	Replace
12	MS Excel Promotion & Retro Pay	Tracking of promotion salary increases and retro pay.	Replace
13	MS Excel Revenue and Expenditures by Funding Source	Tracking of revenue and expenditures by funding source.	Replace
14	MS Excel Termination, Sick, and Leave Payout	Tracking of hours available for payout.	Replace
15	MS Excel Timesheet Review Spreadsheet	Tracking of hours to projects, holiday, sick, vacation, etc. to review for accuracy.	Replace

#	System/Shadow Spreadsheet	Application Notes/Description	Future Disposition
16	MS Excel Vacation & Sick Time Tracking	Spreadsheet used to track employee sick and vacation time accruals.	Replace
17	Paychex	Third party payroll processing system.	Consider
18	Custom Built Time Entry Portal	Input and tracking of employee project and non-project time.	Replace
19	SideWinder	Tracking of hardware and hardware details.	Maintain
20	ADOT E-Grant System	Arizona Department of Transportation online grant application and tracking system.	Maintain/Interface
21	Frontline Applicant Tracking	Recruiting and applicant tracking tool.	Consider/Interface
22	Wells Fargo Portal	Purchasing card solution.	Interface
23	United Healthcare	Medical benefit provider.	Interface
24	Delta Dental of AZ	Dental benefit provider.	Interface
25	VSP	Vision benefit provider.	Interface
26	Mutual of Omaha	Life insurance benefit provider.	Interface
27	Sheakley	Flexible spending and COBRA benefit provider.	Interface
28	PO System	Custom-developed PO solution managed by IT and Office Services.	Replace
29	PowerBI	Utilized for analytics/ease of reporting.	Interface
30	Tyler Insight Extensions	Add-ons and document management.	Replace
31	OKTA SSO	Single sign on provider.	Interface
32	Microsoft Dynamics AX	ERP solution providing financial, human resources, and payroll functionality to support MAG business processes.	Replace

1.5 Current Technical Environment

MAG has established technology standards and would prefer to adhere to them as part of the implementation of the solution. The tables below provide Vendors with a current summary of MAG's standards.

As part of the proposal process Vendors will be required to submit significant technical detail about the proposed solution detailed in section 3.4 of this RFP. In preparing responses, Vendors must remain diligent in referencing this table to assure that responses clearly identify:

- Areas of known or potential conflict between the Vendor's proposed solution and MAG's defined environments
- Recommendations of how best to implement and operate the proposed solution within MAG's defined environments

1.5.1 MAG Technical Standards

Technical Standards	
Business application environment	Microsoft Office (Office 365)
Desktop operating system	Windows 10 Enterprise
Email system	Microsoft Exchange Online
Mobile devices	N/A
Imaging/content management system	Tyler Insight Extensions
Internet browser	Edge and Chrome
Geographic Information Systems (GIS)	ArcGIS
Proxy server	N/A
Relational databases	MS SQL Server
Server hardware	Dell Technologies
Server operating system	Windows Server 2016
Server virtualization	vmWare ESXi 6.7
Web server software	IIS

1.6 Expected Scope of System Solution

MAG is requiring that responding Vendors propose a complete ERP solution, including software, hardware specifications, project management, and other technology services for the entire scope of the project that may or may not include components owned by the Vendor.

The following definitions should be considered relative to the list below:

Core: Components of the solution that MUST be responded to by Vendors in the RFP.

Expanded: Components of the proposed solution that may be optionally proposed by responding Vendors but are not mandatory to include in the Vendor's response.

An outline of the required software system solution has been provided as follows:

Software:

Core Modules

- Accounts Payable
- Accounts Receivable and Miscellaneous Billing
- Budgeting
- Cash Receipting
- Contract Management
- Fixed Assets
- General Ledger and Financial Reporting
- Grants and Project Management
- Human Resources, including but not limited to:
 - Position Management
 - Benefits

- Personnel Evaluations
- Onboarding
- Reporting
- Purchasing
- Report Writer
- Time and Attendance
- Treasury Management
- Any other necessary software components to support the proposed Solution

Expanded Modules

- Human Resources - Recruiting
- Payroll

Services:

- **Required Services**
 - Project Management
 - Hardware design and installation consulting
 - Software Installation
 - Data Conversion
 - Report Development
 - Integration and Interface Development
 - Software Modifications
 - Implementation and Training Services
 - Change Management
 - Knowledge Transfer to Staff
 - System Documentation Development
 - Operational Redesign Assistance
 - Ongoing Support and Maintenance Services
- **Optional Services**
 - On-Going Hosting Services

MAG strongly prefers a cloud or Vendor-hosted solution but will consider a traditional on-premise solution. **If a Vendor does propose a cloud or Vendor-hosted solution, any differences from a MAG-hosted solution must be clearly delineated in the appropriate sections of the RFP response.**

Additional details and descriptions related to the specifics of the expected scope can be found in section 3 - Proposal Response Format.

1.7 Summary of Key Organization Metrics

A summary of key organization metrics and data is included below. This information reflects actual and estimated figures for the current and future environment.

Overall Organization Metrics	
Member Agencies	27
Combined Population of Member Agencies	4,582,241
Number of Departments	10
Operating Budget	\$18,745,046
Total Staff (FTE)	115
Number of ERP System Core Users (Finance, HR, Payroll Process Owners) - Current	9
Number of ERP System End Users (Purchasing, Contract Management, Budgeting, Reporting, etc.) - Current	0
Number of IT Administrative Users - Current	3
Number of ERP System Core Users (Finance, HR, Payroll Process Owners) - Future	9
Number of ERP System End Users (Purchasing, Contract Management, Budgeting, Reporting, etc.) - Future	35
Number of IT Administrative Users - Future	3
Number of Concurrent ERP System Users - Future	45-50
Legal Entities	Three: - Two 501(c)(3) non-profits - One 501(c)(4) non-profit
General Ledger/Bank Reconciliation	
Fiscal Year End	6/30/2020
Number of Funds	8
Number of Department Codes	10
Number of Balance Sheet Accounts	38
Number of Expense Accounts	69
Number of Revenue Accounts	26
Number of Projects and Grants	363
Number of Manual Journal Entries (Monthly)	35
Number of Cash Accounts	1
Number of Bank Accounts	8

Budgeting	
Funding Source	Federal Revenue - 67.99% State Revenue - 29.33% Member Dues Revenue - 2.53% Other Revenue - .15%
Pre-Encumbrance Controls?	No
Encumbrance Controls?	Yes
Position Control?	Yes
Budget Entry Model (Centralized or Decentralized):	Centralized
Number of Approval Levels	5
Budget Frequency	Biennial
Number of Funds Budgeted	8
Fixed Assets	
Number of Capitalized Fixed Assets	30
Fixed asset tagging?	Yes
Fixed Asset Capitalization Threshold	\$5,000 & useful life > 3 years
Tracking / Reporting of Non-depreciable Assets?	Yes
Project/Grant Accounting	
Do Projects/Grants Cross Funds?	No
Do Projects/Grants Cross Departments?	No
Purchasing/Contract Management/Inventory	
Number of Purchase Orders per Month	25
Accounts Payable	
Number of Vendors Maintained in Accounts Payable System	700
Number of Invoices Input Annually	2,000
Frequency of Check Runs	Weekly
Check Signature Method	Wet Signatures by 2 authorized signers
Number of 1099s Processed Annually	20
Human Resources and Payroll	
Number of Permanent Employees	115
Number of Part-Time Employees	1
Number of Seasonal Employees	0
Number of Bargaining Units	0

Number of Applicants (Annually)	740
Payroll Frequency	Bi-weekly

1.8 Overall Evaluation Process

Responses to this RFP will be evaluated by a team consisting of various stakeholders within MAG. MAG's intent is to acquire the solution that provides the best value to MAG and meets or exceeds both the functional and technical requirements identified in this RFP.

MAG will be using the following process to reach a finalist Vendor decision:

- 1. Minimum Criteria:** As part of the Vendor's RFP response, the following minimum criteria must be met for a proposal to be considered for further evaluation. Failure to meet all of these criteria will automatically disqualify the Vendor's response from further consideration:
 - **RFP Response**
RFP response is submitted by the due date and time
 - **Response Authorization**
The RFP response is signed by an authorized company officer
 - **Response Completeness**
Vendor complied with all instructions in the RFP and provided a response to all items requested with sufficient detail, including all forms, which provides for the proposal to be properly evaluated. Failure to provide the requested information may result in rejection of the proposal.
- 2. Round 2 Evaluation:** For those Vendors whose proposals pass the minimum criteria, the following categories of criteria will be used to further evaluate the proposals in the following order of preference from high to low, using information from:
 - Functional/Technical Requirements
 - Vendor Qualifications
 - Project Approach
 - Cost
- 3. Round 3 Evaluation:** The top Vendors in the second-round evaluation may proceed to an additional level of due diligence that may include the following activities:
 - Follow-up questions and answers with the Vendors.
 - Vendor demonstrations to include module/functionality demonstrations, technical demonstrations, service presentation, and other due diligence.
 - At any point in time during the third round of evaluation, a Vendor may be excluded from further consideration. At the conclusion of the round three activities, the finalist Vendors will be judged on all information collected to date, including additional questions and answers, as well as a best and final offer.

1.9 Anticipated Timeline Overview

Listed below are dates related to this request for proposal. In the event that these are changed, an addendum to this RFP will be issued.

Milestone	Timeframe
RFP issuance	September 23, 2020
Vendor pre-proposal meeting (Non-mandatory)	October 7, 2020 at 2:00 PM MST
Deadline for clarification questions	October 14, 2020 at 4:00 PM MST
Answers to questions posted	October 21, 2020
Vendor proposals due	October 28, 2020 by 4:00 PM MST
Notification of demonstration dates	November 2020
Vendor Demonstrations	December 7-18, 2020
Contract negotiations and award	December 2020 – January 2021
Anticipated project initiation	Early 2021
End of support for legacy ERP Solution	December 2021

2 Vendor Proposal Guidelines

2.1 Deadline for Proposals

Proposals must conform to the requirements set forth in the RFP. Proposals not conforming to these guidelines may be rejected as non-responsive.

Proposals must be submitted **by 4:00 PM MST, October 28, 2020** to:

<https://upload.azmag.gov/?code=2020ERPRFP>

The Vendor must submit **one (1) electronic copy** of the Vendor's technical proposal and **one (1) electronic copy** of the Vendor's cost proposal. The electronic proposal must include the following files:

RFP 1099 for an ERP System- Specifications.xlsx

RFP 1099 for an ERP System- Pricing Form.xlsx

RFP 1099 for an ERP System- Vendor Forms.docx

The worksheets that have been provided in Microsoft Excel **must be completed in the provided Microsoft Excel files.**

Maximum file size is 500 MB. Proposals received after the deadline will not be accepted.

2.2 Proposal Opening

Proposals will be announced on a live audio webcast. The name of each entity submitting a proposal will be read at **4:01 PM MST** on October 28, 2020 on [MAG's YouTube Channel](#). Proposals not submitted by the date and time specified will be rejected.

2.3 Preparation of Proposals

Proposals shall be prepared in accordance with the proposal response format, section 3. Proposals not complying with this format may be considered non-responsive and removed from consideration.

2.4 RFP Clarifications and Questions

Potential proposers may submit questions to MAG about the contents of this document.

All inquiries regarding this proposal must be written and should be **emailed** with a subject line of "RFP 1099 for an ERP System Selection" to:

Brian.Pesis@plantemoran.com

Inquiries regarding the proposal will be accepted up to and including **October 14, 2020 at 4:00 PM MST.**

2.5 Vendor Pre-Proposal Meeting

A non-mandatory Vendor pre-proposal meeting will be held virtually on **October 7, 2020 at 2:00 PM MST.**

Contact Brian.Pesis@plantemoran.com to receive the meeting details.

If you are unable to attend, please see section 2.4 for RFP clarification and questions.

2.6 Basis for Award, Evaluation Criteria and Questions

The qualification of proposal responders on this project will be considered in making the award. MAG is not obligated to accept any proposal if deemed not in the best interest of MAG. MAG reserves the right to accept or reject any and all proposals, in whole or in part at its sole discretion. MAG reserves the right to waive any informalities or irregularities in proposals. MAG reserves the right to negotiate separately the terms and conditions on all or any part of the proposals as deemed to be in MAG's best interest at its sole discretion. Information and/or factors gathered during the procurement process and any other information deemed relevant by MAG, shall be utilized in the final award. The final award of a contract is subject to approval by the Regional Council.

2.7 Advice of Omission or Misstatement

In the event MAG has omitted or misstated a material requirement to this RFP and/or the services required by this RFP, the responding Vendor shall advise the contact identified in the *RFP Clarifications and Questions* section above of such omission or misstatement.

2.8 Confidential Information

In accordance with Arizona Administrative Code R2-7-103, CONSULTANT may designate as confidential portions of a Proposal. A summary index of any such designation must be included in the Table of Contents or cover letter in the Proposal documents. If MAG determines to disclose the information provided, MAG shall inform the CONSULTANT in writing of such determination prior to such disclosure.

2.9 Award of Contract

The Vendor shall be deemed as having been awarded a contract when the formal notice of acceptance of the Vendor's proposal has been duly served upon the intended awardee by an authorized agent of MAG. Note that the successful Vendor, at the time of contract execution, must be licensed to do business in the State of Arizona.

2.10 Advertising

Vendor shall not advertise or publish the fact that MAG has placed this order without prior written consent from MAG, except as necessary to comply with the government.

2.11 Right to Request Additional Information

MAG reserves the right to request any additional information that might be deemed necessary during the evaluation process.

2.12 Proposal Preparation Costs

The Vendor is responsible for any and all costs incurred responding to this request for proposal.

2.13 Pricing Eligibility Period

All Vendor proposals must be offered for a term not less than **180 calendar days**. A proposal may not be modified, withdrawn or cancelled by Vendor during this time period following the proposal due date. MAG, may purchase a subset of the proposal components with the initial contract. MAG requires Vendors to honor software and services pricing established within the Vendor's proposal response for Vendor proposed components which are not included in MAG's initial purchase for a period of (3) years from the date of the Vendor's proposal. The price of these components can only be increased by the Vendor during this time by an amount equal to the annual CPI-U adjustment for the CPI region for Phoenix, AZ or 3%, whichever is less.

2.14 Additional Charges

No additional charges, other than those listed on the price breakdown sheets, shall be made.

2.15 Turnkey Solution

All proposals must include a description and/or pricing for all hardware equipment software and services necessary to make the system specified fully operational for the intent, function, and purposes stated herein. MAG reserves the right to purchase hardware separately.

2.16 Purchase Quantities

MAG reserves the right to purchase any quantities of hardware or software items bid without altering the unit purchase price upon award and throughout the contract period.

2.17 Rights to Pertinent Materials

All responses, inquires, and correspondence relating to this RFP shall become the property of MAG upon receipt, a part of a public record upon opening, and will not be returned.

3 Proposal Response Format

To facilitate the analysis of responses to this RFP, the Vendor is required to prepare their proposals in accordance with the instructions outlined in this section. **Vendors must respond in full to all RFP sections and follow the RFP format (section numbering, etc.) in their response. Failure to follow these instructions may result in rejection.**

Section	Title
	Proposer's Information Form
1	Executive Summary
2	Company Background
3	Application Software
4	Technical Requirements
5	Vendor Hosted or Cloud Option
6	Implementation Plan
7	Staffing Plan
8	Ongoing Support Services
9	Functional System Requirements
10	Client References
11	License and Maintenance Agreements
12	Exceptions and Deviations
13	Other Required Forms and Attachments
14	Addenda
Separate Document	Cost Proposal

3.1 Executive Summary (Section 1)

This part of the response to the RFP should be limited to a brief narrative not to exceed three (3) pages describing the proposed solution. The summary should be oriented toward non-technical personnel. The executive summary should not include any information about the cost. Please describe your experience with implementing complex project and grant accounting requirements.

3.2 Company Background (Section 2)

In addition to providing responses to the following items, the Vendor must complete the **Vendor Proposal Form** in **section 5.5** of this RFP.

Information that Vendors should provide in this section are as follows:

4. The company's background including a brief description (e.g., past history, present status, future plans, company size, key differentiators, etc.) and organization chart(s).
5. Your commitment to the public sector marketplace, including the year the solution began being sold to public sector clients.
6. Audited financial information for the past TWO (2) completed fiscal years that includes income statements, balance sheets, and statement of cash flows.

7. Privately-held companies wishing to maintain confidential financial information must provide information detailing the company's long-term stability. Please provide a current Dunn & Bradstreet report (D&B) as part of the Vendor proposal response.
8. If the Vendor is proposing to use subcontractors on this project, please provide Vendor relationship with that firm and the specific services and/or products that the subcontractor will be providing on the project. A complete list of subcontractors is required. MAG has the right to approve all sub-contractors of the Vendor at any time.

3.3 Application Software (Section 3)

The Vendor is required to provide a general description of the application and how it will meet requirements of this RFP. This section must address, at a minimum, the following items:

9. Describe your overall proposed technology solution, including any unique aspects.
10. For third-party products proposed, provide the following for each product:
 - Reason a third-party product is proposed versus the Vendor's solution
 - Extent to which this third-party product is integrated with the Vendor's solution.
 - How the third-party application will be supported.
11. If proposing both a MAG-hosted and Vendor-hosted or cloud solution, describe any areas where functionality in the two approaches differ.

3.4 Technical Infrastructure (Section 4)

This section is required for all hosting approaches (on-premise, cloud, and Vendor-hosted).

Vendors should identify where conflicts may exist between their solution and current technologies being used in MAG as described in section 1.5.

Hardware and Storage Environment

12. Describe the proposed computer hardware and storage environment to support the system. If multiple options, indicate which is the preferred hardware platform and why. Provide a hardware configuration which takes into account the size of MAG, application modules, database size, and anticipated growth.
13. What system architecture do you propose? Describe the number and type of application servers, database server(s), and development and test environments. Describe your proposal's technical architecture (preferably using a PowerPoint or Visio diagram). This should show components such as the database server, applications server, reporting server, test/training server, firewall(s), web server(s), web browser, minimum workstation requirements, remote access, wireless connectivity, network connectivity to LANs and WAN, etc. Describe any potential use of virtual server technologies (e.g. Microsoft Virtual Server, VMware) and application accelerators and note what Vendors you partner with or recommend and/or support.
14. Identify the communication protocols and networking requirements that are required for implementation and operation of the proposed system. In the event that there are multiple communication systems and/or protocols available, list all options. Take into account MAG's current WAN and remote computing requirements and indicate what changes are required or recommended.
15. Describe what, if any, footprint exists on each user's desktop.
16. What are your guarantees on system performance?
17. Vendor shall provide a system security overview that describes the approach for the solution. This overview shall address, at a minimum, the following areas:

- General information about the environment, information sharing, applicable laws or regulations (including Arizona-specific requirements), handling sensitive information, and responsible parties for each activity
- Security controls throughout the implementation phase and after go-live
- Technical controls around user identification and authentication, logical access controls, and audit trails

3.5 Vendor Hosted or Cloud Option (Section 5)

Note: Response to this section is not required if proposing an on-premise solution.

18. Please describe your **Vendor hosting model**, including: hosting, integration, help desk, provisioning and desktop management capabilities, minimum hardware requirements for computers, deployment model (dedicated servers, shared environment, etc.), impact to and requirements of MAG's network and bandwidth, and any partners that may be involved in service delivery.
19. Please describe your proposed **service level agreement**, including any tiered levels of service, response times, and standard metrics.
20. Please describe your **support model**, including cost structure for support calls.
21. Please describe your **data center and storage facilities**, including locations, staffing, physical security, environmental controls (including redundant power), redundancy/load balancing capabilities, data backups and disaster recovery capabilities.
22. Please describe your **change management**, upgrade, and patch management practices.
23. Describe your **systems administration/management** capabilities including monitoring of performance measures, intrusion detection, and error resolution.
24. Describe how you will help MAG move to a new solution at the **end of the contract** term or if the contract is terminated.
25. Please provide the total number of clients and end-users utilizing your proposed solution.
26. Please provide a copy of your most recent **SSAE 16 Type II audit**.

3.6 Implementation Plan (Section 6)

The Vendor is to provide an implementation plan in narrative format supported by an activity-level project plan (similar to a Microsoft Project file) that details how the proposed solution is to be implemented. This implementation plan should include, at a minimum, the following elements:

27. General Implementation Approach
28. Project Management Approach
29. Hardware, Software & Storage Design and Installation Consulting
30. Data Conversion Plan
31. Report Development
32. Integrations and Interfaces
33. Training
34. Change Management Approach
35. Testing
36. Operational Redesign Approach

37. System Documentation and Manuals
38. Disaster Recovery Plan
39. Knowledge Transfer

It is expected that the Vendor will lead the efforts in each of the implementation areas described below unless stated otherwise.

3.6.1 General Implementation Approach (Section 6.1)

Provide a general overview of the implementation approach you plan to use for MAG that includes addressing the following items:

40. How do you propose remotely delivering your solution amid the current COVID-19 pandemic? How will this proposal and your pricing change if/when MAG returns to an in-person work environment?
41. Describe key differentiators of the approach as it relates to implementing a solution on time, within budget and with the ability to meet the needs of a client like MAG.
42. Describe how you conclude on a preferred implementation phasing of software modules. What is your recommended approach for this implementation?
43. Describe your approach towards running parallel systems for a period of time.

3.6.2 Project Management Approach (Section 6.2)

MAG expects the Vendor to provide project management resources for the system implementation. Costs for this should be clearly denoted in the pricing section.

Provide an overall description of the project management approach and projected timing for major phases, keeping in mind the deadlines described in section 1.3 and 1.9. Include a high-level work plan for achieving a successful deployment. Describe what ways the typical project approach will or can be modified to meet these deadlines.

3.6.3 Hardware, Software and Storage Design and Installation Consulting (Section 6.3)

MAG usually installs required equipment for applications. We are open to other proposals to accomplish a successful deployment. What do you propose for the most effective deployment of hardware, communications and related equipment?

3.6.4 Data Conversion Plan (Section 6.4)

The Vendor is expected to assist MAG in the conversion of data to the new system. MAG will be responsible for data extraction from current systems and data scrubbing and the Vendor will be responsible for overall data conversion coordination, definition of file layouts, and data import and validation into the new ERP. Please provide pricing for data conversions in the associated Microsoft Excel pricing spreadsheet. Additionally:

44. Describe your plan to convert MAG's legacy data described within the pricing form, retention of legacy data, and how you would work with MAG to conclude on what should be converted. Within this plan, include:
 - What data conversion tools and software will be utilized
 - How data errors and outliers will be handled
 - Deliverables provided as part of the conversion process
 - How data will be reconciled and reviewed
 - MAG and the Vendor's roles and responsibilities throughout this process

45. MAG is currently utilizing Microsoft Dynamics AX with Tyler Insight Extensions as its ERP solution. Please describe any experience you have had converting data from this solution, including scope and specific organizations.

3.6.5 Report Development (Section 6.5)

It is anticipated that the Vendor will take the lead on developing any reports required as part of the system implementation. The Vendor is expected to provide technical training on the tools used for report development, database schema and architecture, etc. Provide information on your reporting approach including:

1. Description of available methods of reporting (including business intelligence).
2. Approach to work with MAG to identify, specify, and develop any required custom MAG reports during the implementation.
3. Provide a listing of available out of the box reports and selected samples.
4. Indicate whether MAG can connect to the system database via an ODBC (MS Access SQL Management Studio, etc.) to query and extract data.

3.6.6 Integrations and Interfaces (Section 6.6)

It is expected that information generally will only need to be entered once in the system, and that modules within the system are integrated in real-time with each other such that batch processes are not required to transfer information from one area of the system to another. Existing MAG interfaces between core modules that may currently exist (e.g., AP posting to GL) or shadow systems that will likely be replaced are not included in this section as they are assumed to be included in an integrated ERP System.

The Microsoft Excel pricing sheet contains a listing of current and/or desired application interfaces. Please provide pricing for interface development in the associated Microsoft Excel pricing spreadsheet.

In addition:

1. Describe the extent to which the various modules are integrated together versus being purchased separately and interfaced.
2. Describe your approach towards interfacing and integration with other solutions.
3. Describe data exchange standards (e.g. XML, Web Services, or EDI) supported.
4. Using MAG's current technical environment described above, identify potential issues for integrating with specific technologies that are used within MAG.
5. If local customizations are made, do you provide any tools or assistance to easily incorporate customizations into new version/releases of your software?

3.6.7 Training (Section 6.7)

The Vendor should provide an overall description of these training methods:

1. End User Training Approach: All end-user and technical training will be performed during implementation by the Vendor.
2. Train the Trainer Approach: The Vendor will utilize a "train the trainer" approach where key MAG module leads will be trained on their modules and they will train the remainder of MAG staff with training materials supplied by the Vendor.
3. A hybrid of the two approaches described above.

MAG prefers the end-user training approach, however, is open to any of the proposed methods. For each method, include the following:

General timeframes in which these types of training will be conducted

Materials that will be provided during training, including samples

The nature and amount of training to be provided in the following areas:

- Technical training (e.g., programming, operations, etc.)
- User training
- Other staff (e.g., executive level administrative staff)

Additionally, please provide information on the following:

Options for online training versus live training

Opportunities for ongoing training post go-live (e.g. new hires, refresher training)

3.6.8 Change Management Approach (Section 6.8)

MAG recognizes that a movement from the current environment to a new solution will present change management challenges. The Vendor should clearly identify their approach towards Change Management, including any unique approaches or tools that will be used.

3.6.9 Testing (Section 6.9)

The Vendor should describe their recommended approach to the following types of testing that are anticipated to be performed on the project and the type of assistance they anticipate providing to MAG related to such testing:

System testing

Integration testing

Stress/performance testing

User acceptance testing (UAT)

3.6.10 Operational Redesign (Section 6.10)

MAG wishes to implement operational improvements. Vendors are requested to describe their approach towards operational redesign.

3.6.11 System Documentation and Manuals (Section 6.11)

The Vendor is expected to provide user manuals and online help for use by MAG as part of training and on-going operational support. Additionally, the Vendor is expected to provide technical documentation.

4. Describe what documentation (user guide, technical guide, training materials, etc.) is available on the system proposed and any related costs.
5. Describe what types of documentation you anticipate developing during the project.

3.6.12 Disaster Recovery Plan (Section 6.12)

Please describe the services you provide around disaster recovery as part of your solution.

3.6.13 Knowledge Transfer (Section 6.13)

The Vendor shall develop a Knowledge Transfer plan during the project to describe how they will ensure that MAG staff understand how the system works and the changes from the current environment. Describe your:

Methodologies to ensure that training has been successful and MAG staff know how to use the new system.

Approach to ensuring that MAG personnel can operate, maintain, configure and modify the new system, including operation of the testing tools, supporting infrastructure, and security.

3.7 Staffing Plan (Section 7)

6. The Vendor must detail the type and amount of implementation support to be provided (e.g., number of personnel, level of personnel, time commitment, etc.). Include resumes for all personnel that will be assigned to the project. If the Vendor is using a subcontractor, please include information on subcontracting staff being used and their specific role on the project.
7. Please provide an overall project organizational structure for MAG staff involvement during the project. Identify the roles and responsibilities of each component of this structure.
8. Please provide an overview of MAG staff that are expected to be committed to the project implementation, in table format. This overview should clearly delineate business versus technical staff, and represent commitments in terms of FTEs.

3.8 Ongoing Support Services (Section 8)

9. Please specify the nature and conditions of any post-implementation support options including:
 - Post-go live support that is included in the proposal response
 - Onsite support (e.g. system tuning, application configuration, interface issues, report development, network optimization, user training and tips)
 - Telephone support
 - Help Desk services (Provide a service level agreement for your help desk if it exists. Include any limits on the number of staff who may call in)
 - Users group (i.e. overview, location, and timing)
 - Online knowledgebase
10. Describe your maintenance programs and options with associated pricing.
11. Provide an overview of the update process, including major version updates and patches. Include the process, as well as the frequency they are released.
12. How can MAG change their configurations without Vendor involvement?
13. Please provide an overview of MAG staff that are required for ongoing application support, in table format. This overview should clearly delineate business versus technical staff, and represent commitments in terms of FTEs.

3.9 Functional System Requirements (Section 9)

Responses to the requirements referenced in section 4 of this RFP must be provided in this section of the Vendor's response. Use the Microsoft Excel specification spreadsheet provided and attach explanation pages if necessary. Include any costs associated with modifications in the Microsoft Excel pricing spreadsheet as well. **Please note: The response to these requirements should be provided in the exact format as provided (e.g. no additional macros, formulas, additional columns, modifications, passwords, etc.). Failure to do so may result in disqualification of the entire proposal.**

3.10 Client References (Section 10)

The Vendor must provide at least three references from clients that are similar in size and complexity to MAG in the format provided in **section 5.6**. Metropolitan Planning Organizations (MPOs) and Councils of Governments (COGs) are preferable, but MAG would entertain other organizations with similar project and grant accounting requirements.

MAG also requests a listing of all public sector clients in the past five years. MAG would prefer that references are of the same hosting approach (cloud vs. Vendor-hosted vs. on-premise) as proposed.

3.11 License and Maintenance Agreements (Section 11)

Sample license and maintenance agreements must be provided in this part of the Vendor's response for all components of the recommended solution. Indicate the basis on how licenses are determined.

3.12 Exceptions and Deviations (Section 12)

If the Vendor finds it impossible or impractical to adhere to this RFP, it shall be so stated in its proposal, with all deviations grouped in a separate section entitled, "exceptions/deviations from proposal requirements." Objections or deviations expressed in other parts of the proposal, either directly or by implication, will not be accepted, and the Vendor in submitting a proposal, will accept this stipulation without recourse.

3.13 Other Required Forms and Attachments (Section 13)

Please provide all other required forms in this section:

Minimum Criteria

Proposer's Information Form

Non-Collusion Affidavit

Vendor Proposal Form

Client Reference Form

Pricing Forms

Arizona Administrative Code R4-30-301

Participation in Boycott of Israel Consultant Certification Form

For Vendors who are proposing a hosted or cloud solution, please additionally supply a copy of your Independent Service Auditor's Opinion Letter from your most recent SSAE 16 Type II audit.

3.14 Addenda (Section 14)

Include all original, signed copies of addenda in this section.

3.15 Separate Cost Proposal (Section 15)

One (1) electronic copy of the cost proposal shall be submitted in a separate file from the technical proposal. Pricing forms must remain in the original Excel format—failure to do so may result in disqualification of the proposal. If additional pricing forms are provided in the Vendor's proprietary format, evaluation will still be performed based on the costs in the included Microsoft Excel form.

MAG will not consider time and materials pricing. Vendors shall provide firm fixed pricing and denote if each cost is one-time, annual, or other.

The Vendor shall provide price information for each component of the proposed solution, as well as any modifications necessary to fully comply with the RFP specification response.

In the event the product or service is not included, the item should be noted as "No Bid".

In the event the product or service is provided at no additional cost, the item should be noted as "no charge" or "included." Otherwise, it will be assumed the item is "No Bid"

Vendor shall provide prices in U.S. dollars.

For software license fees, Vendor shall clearly define the license type (i.e. named user vs. concurrent user), number of licenses, and version of software licensed in the Module Information tab.

To the extent possible, Vendors shall show any applicable discounts separately.

Although MAG prefers that Vendors provide separate prices for each item, the Vendor may present alternatives (i.e. bundled pricing) if such pricing would be advantageous to MAG. In this case, please describe where the component costs are included using the Module Information tab.

MAG strongly prefers a cloud or Vendor-hosted solution but will consider a traditional on-premise solution. As such, MAG is requesting proposals to include detailed information regarding the Vendor's hosting and licensing options. If multiple solutions are proposed, please include a separate pricing form for each hosting/licensing model.

4 Functional Requirements

4.1 Introduction

The requirements in this section contain the desired functionality of the requested software solution.

Identified in the attached Excel spreadsheet are the requirements/specifications that must be addressed by the Vendor's proposal. These requirements are mandatory in implementing the solution as defined in section 1.6. Vendors must replace cells G2 in the instructions tab with the Vendor's **Company Name** which will be repeated and printed for each subsequent module.

Each requirement will have a measure of gap, which is rated on a 1 - 5 scale. A higher score indicates that this functionality will be a significant improvement over the current system.

Each requirement will also have a measure of impact, which is rated on a 1 – 5 scale. A higher score indicates that this functionality is critical for completing a business process, while a lower score indicates a requirement is less important.

Each Vendor should review the specifications listed and respond with their availability within the Vendor's proposed solution. The responses should be entered under the **Availability** column of each form as follows:

Y	Functionality is provided out of the box through the completion of a task associated with a routine configurable area that includes, but is not limited to, user-defined fields, delivered or configurable workflows, alerts or notifications, standard import/export, table driven setups and standard reports with no changes. These configuration areas will not be affected by a future upgrade. The proposed services include implementation and training on this functionality, unless specifically excluded in the Statement of Work, as part of the deployment of the solution.
R	Functionality is provided through reports generated using proposed Reporting Tools.
T	Functionality is provided by proposed third-party functionality (i.e., third-party is defined as a separate software Vendor from the primary software Vendor). The pricing of all third-party products that provide this functionality MUST be included in the cost proposal.
M	Functionality is provided through customization to the application, including creation of a new workflow or development of a custom interface, that may have an impact on future upgradability. The pricing of all modifications identified in the functional requirements MUST be included in the cost proposal.
F	Functionality is provided through a future general availability (GA) release that is scheduled to occur <u>within 1 year</u> of the proposal response.
N	Functionality is not provided

Use the **Cost** column for “M” or “F” responses to estimate the cost to be incurred by MAG to secure the specification, if necessary. Use the **Comment** column to provide additional comments pertaining to your response for that item.

The **Required Product(s)** column is to be used to specify what product (e.g. product name or software module) is proposed.

Vendors proposing a multi-product solution should complete a General and Technical module specification response for each product.

Please note: The response to these requirements should be provided in the exact format as provided (e.g. no additional macros, formulas, additional columns, modifications, passwords, etc.). Failure to do so can result in disqualification of the entire proposal.

5 Proposal Forms

5.1 Introduction

This section contains various forms that should be prepared and submitted along with the Vendor's proposal. The intent of providing such forms is to ensure comparability between proposals. Included in this section are the following forms:

- Minimum Criteria
- Proposer's Information Form
- Non-Collusion Affidavit
- Vendor Proposal Form
- Client Reference Form
- Pricing Forms
- Arizona Administrative Code R4-30-301
- Participation in Boycott of Israel Consultant Certification Form

5.2 Minimum Criteria

As noted in section 1.8 of this RFP, proposed solutions **MUST** meet all of the following requirements. **Proposals not meeting these requirements will be rejected.** Vendors should acknowledge acceptance of these terms and include the following checklist in their RFP response.

Minimum Criteria	Yes/No
RFP Response RFP response is submitted by the due date and time.	
Response Authorization The RFP response is signed by an authorized company officer.	
Response Completeness Vendor complied with all instructions in the RFP and provided a response to all items requested with sufficient detail, including all forms, which provides for the proposal to be properly evaluated. Failure to provide the requested information may result in rejection of the proposal.	

5.3 Proposer’s Information Form

Consultants proposing as prime Consultants or Subconsultants on Maricopa Association of Governments’ (MAG) projects are required to complete this form and return it with your proposal. By signature on the Proposers Information Form, the consultant certifies that:

- a. The submission of the offer did not involve collusion or other anti-competitive practices.
- b. The Proposer will not discriminate against any employee or applicant for employment in violation of 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.

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

GENERAL INFORMATION:

Name of Firm: _____

Street Address: _____

City, State, Zip: _____

Telephone Number: _____ Fax Number: _____

Email Address: _____

Web address: _____ Year firm was established: _____

Is this firm a prime consultant? Yes _____ No _____

Is this firm a subconsultant? 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 _____

FINANCIAL INFORMATION

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

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

Total Price of the Proposed Solution (One-time costs plus one year of ongoing costs): _____

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

5.4 Non-Collusion Affidavit

**THE AFFIDAVIT SET FORTH BELOW MUST BE EXECUTED ON BEHALF OF
THE VENDOR AND FURNISHED WITH EVERY PROPOSAL
NON-COLLUSION AFFIDAVIT**

STATE OF: _____

MAG OF: _____

TAX ID NUMBER: _____

_____, being duly sworn, deposes and says he/she is the _____ (*Name*) (*Title*)

Of _____ the proposal responder that has
(*Company*)

submitted to MAG a proposal for an ERP system all as fully set forth in said proposal and that except as specified below, the aforementioned proposal responder constitutes the only person, firm, or corporation having any interest in said proposal or in any contract, benefit, or profit which may, might or could accrue as a result of said proposal, said exceptions being as follows:

(If no exceptions, please state)

Vendor further states that said proposal is, in all respects, fair and is submitted without collusion or fraud; and that no member of MAG is directly or indirectly interested in said proposal.

(Affiant)

SWORN TO and subscribed before me, a Notary Public, in and for the above-named State and City

this _____ day of _____, _____.
(Day) (Month)(Year)

(Notary Public)

5.5 Vendor Proposal Form

Vendor name:	
Software brand name:	
Software version proposed & number of years in production:	
Is Vendor prime contractor:	Yes <input type="checkbox"/> No <input type="checkbox"/>

1. Please describe the level of research and development investment you make in your products (i.e. – annual budget, head count, etc.).

2. How many fully operational (i.e. Live) customer installations of the **version proposed** in this RFP, currently in production, has the Vendor completed?

	Arizona	Nationally
Public Sector		
Private Sector		
Overall:		

3. How many fully operational customer installations (i.e. Live), of all versions, has the Vendor completed?

	Arizona	Nationally
Public Sector		
Private Sector		
Overall:		

4. How many current system implementations of your solution are **in-process** within both the State of Arizona and the Vendor-defined region of the Country that includes the State of Arizona?

	Current in-process Implementations
State of Arizona	
Region	
Total:	

5. Where is the Vendor's closest support facility/sales office to Phoenix, AZ?

6. Where is the Vendor's company headquarters?

7. Please list the Vendor's sales in the previous three years:

Year	Sales
2019	
2018	
2017	

8. How many total employees does the Vendor have in each of the following categories:

Area	Number
Sales/Marketing	
Management/Administration	
Help Desk Staff	
Development Staff	
Other	
Total:	

9. What is the Vendor's hourly rate for implementation assistance beyond that which is included in the Vendor bid by skill set?

Rates for Additional Implementation Assistance	
Skill Set	Hourly Rate
	\$ / hr.
	\$ / hr.
	\$ / hr.

10. Please indicate two separate potential visits of 2-3 consecutive days each in which the Vendor will commit to being available for an onsite demonstration and your preference.

Demonstration Date Options		
Option	Available	Not Available
Week of December 7		
Week of December 14		

11. What would be the Vendor's preferred comparably sized, site visit location?

12. What is the total duration of your proposed implementation approach?

13. Please list all third-party solutions proposed.

14. What database are you proposing?

15. Is the solution hosted by the Vendor or a third-party?

16. Please describe the minimum commitment term (in years) for a Vendor-hosted or cloud option and note the term assumed for determining the proposed costs.

17. What is the query tool and report writer that Vendor is proposing?

18. What is your recommended approach to training (End-user vs. train the trainer), for MAG, and why?

19. Will the Vendor contractually agree to:

Contractual Inquiry		
Term / Condition	Yes	No
Non-performance holdbacks?		
Payment holdbacks until fully operational and formally accepted?		
Allow MAG to approve Vendor staff assigned to help with implementation?		
Waiving software maintenance costs for the duration of the software implementation.		

20. Describe how your software will be licensed to MAG (e.g. site license, named users, concurrent users, etc.)

5.6 Client Reference Form

Vendor name:

Customer name:

Customer contact:

Customer phone number: ()

Customer E-mail address

System which Solution Replaced

Project Date Range

Describe Nature of Project and Services Provided to This Client:

Configuration of Solution Implemented (Hardware, Software) including modules implemented and version:

5.7 Pricing Forms

Please complete the pricing forms that have been provided in the associated Microsoft Excel pricing spreadsheet. It is the responsibility of the Vendor to ensure the accuracy of the pricing provided as part of your response. Any errors in providing an accurate price response due to inaccuracies in the provided templates are the sole responsibility of the responding Vendor. If there is not enough space to describe the pricing on these forms, please attach a separate pricing page and provide the pricing information in the same type of format so that it is easy to understand. MAG requests a firm, fixed price for each of the components described below that are included on the attached Microsoft Excel pricing spreadsheet as separate tabs:

Vendor Checklist (including Hosting/Licensing Model, Travel & Lodging Costs, and Discount)

Proposal Summary (no direct input required)

Module Summary (no direct input required)

Application Software

Other Software

Ancillary Hardware

Implementation Services

Train-the-Trainer Training¹

End-User Training¹

Interfaces

Modifications

Other Implementation Services

¹ Vendors shall propose their recommended mix of end-user and train-the-trainer training.

5.8 Arizona Administrative Code R4-30-301

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. If a registrant violates any state or federal criminal statute, the Board may take action against a registrant's license or certificate if a violation of the law is reasonably related to a 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:
 - 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
 - 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 Land Surveyors Association (APLS) Arizona Boundary Survey Minimum Standards, available at www.azapls.org. The Board of Technical Registration adopted the standards on June 15, 2001, and incorporated them into this subsection by reference. This incorporation by reference does not include any later amendments or editions and is available at the office of the Board of Technical Registration.
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 telephone 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 below and in subsections (18) and (19), a registrant shall not accept any professional engagement or assignment outside the registrant's professional registration category unless:
 - The registrant is qualified by education, technical knowledge, or experience to perform the work; and
 - 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 that 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.

Historical Note: Adopted effective August 3, 1983 (Supp. 83-4). Amended effective December 18, 1991 (Supp. 91-4). Amended effective May 1, 1995 (Supp. 95-2). Amended by final rulemaking at 6 A.A.R. 1018, effective February 25, 2000 (Supp. 00-1). Amended by final rulemaking at 8 A.A.R. 903, effective February 14, 2002 (Supp. 02-1). Amended by final rulemaking at 9 A.A.R. 791, effective February 12, 2003 (Supp. 03-1). Amended by final rulemaking at 10 A.A.R. 2798, effective August 7, 2004 (Supp. 04-2). Amended by final rulemaking at 12 A.A.R. 1609, effective July 1, 2006 (Supp. 06-2). Amended by final rulemaking at 19 A.A.R. 128, effective March 10, 2013 (Supp. 13-1). Amended by final rulemaking at 24 A.A.R. 1785, effective August 5, 2018 (Supp. 18-2).

COMPLIANCE WITH RULES OF PROFESSIONAL CONDUCT CERTIFICATION

I hereby certify to the best of my knowledge and belief that _____
(Name of Consulting Firm)

and I _____ as the _____ shall comply with, in
(Name) (Title)

all respects, the rules of professional conduct set forth in A.A.C. R4-30-301.

(Signature)

(Print Name)

(Date)

5.9 Participation in Boycott of Israel Consultant Certification Form

This Certification is required in response to legislation enacted to prohibit the State from contracting with companies currently engaged in a boycott of Israel. To ensure compliance with A.R.S. §35-393.01, this form must be completed and returned with any response to a solicitation (SOQ), Contract Cost Proposals, and Contract Time Extensions. Consultants must submit any supporting information to assist the state in making its determination of compliance. The Consultant understands that this response will become public record and may be subject to public inspection.

As defined by A.R.S. §35-393.01:

1. "Boycott" means engaging in a refusal to deal, terminating business activities or performing other actions that are intended to limit commercial relations with Israel or with persons or entities doing business in Israel or in territories controlled by Israel, if those actions are taken either:
 - (a) In compliance with or adherence to calls for a boycott of Israel other than those boycotts to which 50 United States Code section 4607(c) applies.
 - (b) In a manner that discriminates on the basis of nationality, national origin or religion and that is not based on a valid business reason.
2. "Company" means a sole proprietorship, organization, association, corporation, partnership, joint venture, limited partnership, limited liability partnership, Limited Liability Company or other entity or business association, and includes a wholly owned subsidiary, majority-owned subsidiary, parent company or affiliate.
3. "Direct holdings" means all publicly traded securities of a company that are held directly by the state treasurer or a retirement system in an actively managed account or fund in which the retirement system owns all shares or interests.
4. "Indirect holdings" means all securities of a company that are held in an account or fund, including a mutual fund, that is managed by one or more persons who are not employed by the state treasurer or a retirement system, if the state treasurer or retirement system owns shares or interests either:
 - (a) Together with other investors that are not subject to this section.
 - (b) That are held in an index fund.
5. "Public entity" means this State, a political subdivision of this STATE or an agency, board, commission or department of this state or a political subdivision of this state.
6. "Public fund" means the state treasurer or a retirement system.
7. "Restricted companies" means companies that boycott Israel.
8. "Retirement system" means a retirement plan or system that is established by or pursuant to title 38.

All Consultants must select one of the following:

_____ My company does not participate in, and agrees not to participate in during the term of the contract a boycott of Israel in accordance with A.R.S. §35-393.01.

_____ My company does participate in a boycott of Israel as defined by A.R.S. §35-393.01. Consultant shall provide a written explanation.

By submitting this response, Consultant agrees to indemnify and hold the State, its agents and employees, harmless from any claims or causes of action relating to the State's action based upon reliance on the above representations, including the payment of all costs and attorney fees incurred by the State in defending such an action.

Company Name Signature of Person Authorized to Sign

Address Printed Name

City State Zip Title