

Contract UCPUMW 16-515

UNIVERSITY OF MARY WASHINGTON
Commonwealth of Virginia

This contract entered into this 1st day of June, 2016, by Strata Information Group, hereinafter called the "Contractor" and the Commonwealth of Virginia, University of Mary Washington called the, "University" or "UMW".

WITNESSETH that the Contractor and the University, in consideration of the mutual covenants, promises and agreements herein contained, agree as follows:

SCOPE OF SERVICES: The Contractor shall provide the services described herein.

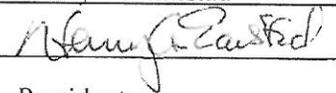
PERIOD OF CONTRACT: June 1, 2016 – May 31, 2017 with five (5) one-year renewal options.

COMPENSATION AND METHOD OF PAYMENT: Will be in accordance with the contract documents.

CONTRACT DOCUMENTS: The contract documents shall consist of this signed Contract including all following attachments, the general conditions and special terms and conditions, the Offeror's Professional Services Agreement, Offeror's proposal, and the original RFP including any addenda, all of which are incorporated herein by reference and constitute the "contract documents." Any contractual claims shall be submitted in accordance with the contractual dispute procedures set forth in the Commonwealth of Virginia Purchasing Manual for Institutions of Higher Education and their Vendors.

In witness, whereof, the parties have caused this Contract to be duly executed intending to be bound thereby.

CONTRACTOR

Printed Name: Henry A. Eimstad
Signature: 
Title: President
Date: 5/19/16
FEI/FIN#: 33-0278391
Phone: 619-296-0170
Email: eimstad@sigcorp.com

PURCHASING AGENCY

Printed Name: MELVA ANN KISHPAUGH, CUPD
Signature: 
Title: ASST. DIRECTOR, PROCUREMENT
Date: 5/20/2016

Note: This public body does not discriminate against faith-based organizations in accordance with the *Governing Rules §36* or against a bidder or offeror because of race, religion, color, sex, national origin, age, disability, or any basis prohibited by state law relating to discrimination in employment.

ATTACHMENT I

- I. **SERVICES:** The Offeror shall provide consulting for the following services as specified in SIG's proposal dated March 16, 2016, pages 10 and 11):
 - A. The Offeror shall provide consulting services for the following:
 1. Implementation and process analysis on the Banner Financial Aid (FA) and Self Service Banner (SSB) modules.
 2. The consultant shall work with Banner FA and the University's Financial Aid Staff to redesign, test, and implement critical efficiency and technical improvements to ensure compliance with best practices in Financial Aid management for Higher Education.
 3. The consultant shall assist with modernization of internal processes, improved communication, and improved procedural documentation to support important upcoming changes in financial aid.
 - a. The consultant shall be on-site for 3 consecutive days each quarter, as needed, to assist with the modernization project and review progress.
 4. The consultant shall be available for support by phone or email during normal business hours of 8am-5pm, Monday through Friday.
 5. The consultant shall be well-versed in SQL language and be able to create scripts necessary to ensure Banner processes run smoothly within the job scheduler, Banner FA module, and internal reports.
 6. Deliverables:
 - a. With the inception of the Prior Prior Year (PPY) processing for 2017-2018 that will begin in October 2016, it is important to have the Banner systems ready to begin importing ISIR data.
 - b. Work to update automated packaging, net tuition models and awarding parameters will need to be set by late fall, therefore the consultant must be ready to assist UMW with this work no later than September 1, 2016.
 - B. Other Value-Added services - The Contractor offers the following additional optional support services:
 1. Functional and Technical Support Services for:
 - a. Banner Student including the Self-Service functionality
 - b. Banner Finance including the Self-Service functionality
 - c. Banner Human Resources including the Self-Service functionality
 - d. Banner Financial Aid including Self-Service functionality
 - e. Banner Advancement including Self-Service functionality
 - f. Banner Document Management
 - g. Banner Workflow
 - h. Luminis and the Portal Environment
 - i. Degree Works
 - j. CAPP
 2. Other technical and functional services for Banner and associated third-party vendor products
 3. Project management services
 4. Assessments
 5. Business Process Analysis and Redesign
 6. Banner/Oracle Database Administration
 7. Document Management and Imaging Solutions
 8. Staff Augmentation and Management Services

9. Information Technology Planning Services

II. PRICING:

Fees for Banner Financial Aid Consulting and Optional Services:

- Remote Consulting - \$160/hour
- On-Site Consulting - \$160/hour plus transportation expenses (airfare, rental car, etc.), lodging and per diem at the then current GSA/State of Virginia rules.

III. TERMS AND CONDITIONS:

GENERAL TERMS AND CONDITIONS: Please refer to the link to follow regarding Required General Terms and Conditions of this Solicitation which are a mandatory part of the resulting contract:

<http://adminfinance.umw.edu/procurement/umw-policies-and-procedures-2/>

ADDITIONAL GOODS AND SERVICES: Any using agency of this contract may acquire other goods and services that the vendor provides other than those specifically delineated. The using agency has the ability to obtain additional goods and/or services under the same pricing, terms and conditions as this contract to make modifications or enhancements to the existing goods and services provided under this contract. Such additional goods and services may include other products, components, accessories, subsystems, or related services that are newly introduced during the term, and should be provided at favored nations pricing, terms and conditions.

AUDIT: The Contractor hereby agrees to retain all books, records, and other documents relative to this contract for five (5) years after final payment, or until audited by the Commonwealth of Virginia, whichever is sooner. The Agency, its authorized agents, and/or State auditors shall have full access to, and the right to examine any of said materials during said period.

AVAILABILITY OF FUNDS: It is understood and agreed between the parties herein that the agency shall be bound hereunder only to the extent of the funds available or which may hereafter become available for the purpose of this agreement.

CANCELLATION OF CONTRACT: The University reserves the right to cancel and terminate any resulting contract, in part or in whole, without penalty, upon sixty (60) days written notice to the Contractor. In the event the initial contract period is for more than twelve (12) months, the resulting contract may be terminated by either party, without penalty, after the initial twelve (12) months of the contract period upon sixty (60) days written notice to the other party. Any contract cancellation notice shall not relieve the Contractor of the obligation to deliver and/or perform all outstanding orders issued prior to the effective date of cancellation.

COOPERATIVE PROCUREMENT/ADDITIONAL USERS - USE OF AGREEMENT BY THIRD PARTIES: It is the intent of this solicitation and resulting contract(s) to allow for cooperative procurement. Accordingly, any public body (to include government/state agencies, political subdivisions, etc.), cooperative purchasing organizations, public or private health or educational institutions, or any University affiliated agency and/or corporation may access any resulting contract if authorized by the Contractor.

Participation in this cooperative procurement is strictly voluntary. If authorized by the Contractor(s), the resultant contract(s) will be extended to the entities indicated above to purchase goods and services in accordance with

contract terms. As a separate contractual relationship, the participating entity will place its own orders directly with the contractor(s) and shall fully and independently administer its use of the contract(s) to include contractual disputes, invoicing and payments without direct administration from the University. No modification of this contract or execution of a separate agreement is required to participate; however, the participating entity and the contractor may modify the terms and conditions of this contract to accommodate specific governing laws, regulations, policies, and business goals required by the participating entity. Any such modification will apply solely between the participating entity and the Contractor.

The Contractor will notify the University in writing of any such entities accessing this Contract. The Contractor will provide semi-annual usage reports for all entities accessing the Contract. The Contractor should consider an offer of special tiered pricing or rebates to all entities accessing the contract, based on the results of such reporting. This tiered pricing and/or rebate structure should be included with the Bidder/Offeror's bid or proposal package.

The University shall not be held liable for any costs or damages incurred by any other participating entity as a result of any authorization by the Contractor to extend the Contract. It is understood and agreed that the University is not responsible for the acts or omissions of any entity, and will not be considered in default of the Contract no matter the circumstances.

Use of this Agreement does not preclude any participating entity from using other agreements or competitive processes.

E-VERIFY PROGRAM: EFFECTIVE 12/1/13. Pursuant to Code of Virginia, §2.2-4308.2., any employer with more than an average of 50 employees for the previous twelve (12) months entering into a contract in excess of \$50,000 with any agency of the Commonwealth to perform work or provide services pursuant to such contract shall register and participate in the E-Verify program to verify information and work authorization of its newly hired employees performing work pursuant to such public contract. Any such employer who fails to comply with these provisions shall be debarred from contracting with any agency of the Commonwealth for a period up to one year. Such debarment shall cease upon the employer's registration and participation in the E-Verify program. If requested, the employer shall present a copy of their Maintain Company page from E-Verify to prove that they are enrolled in E-Verify.

PRICE ESCALATION/DE-ESCALATION:

- a. Price adjustments may be permitted for changes in the contractor's cost of materials. No price increases will be authorized for the initial term of the contract. Price escalation may be permitted only at the end of this period and before each renewal period thereafter and only where verified to the satisfaction of the Procurement office. However, "across the board" price decreases are subject to implementation at any time and shall be immediately conveyed to the University.
- b. Contractor shall give not less than thirty (30) days advance notice of any price increase to the Procurement office. Any approved price changes will be effective only at the beginning of the calendar month following the end of the full thirty (30) day notification period. The contractor shall document the amount and proposed effective date of any general change in the price of materials. Documentation shall be supplied with the contractor's request for increase which will:
 - i. Verify that the requested price increase is general in scope and not applicable just to the University

- ii. Verify the amount or percentage of increase which is being passed on to the contractor by the contractor's suppliers.
- c. The Procurement office will notify the using agencies and contractor in writing of the effective date of any increase which it approves. However, the contractor shall fill all purchase orders received prior to the effective date of the price adjustment at the old contract prices. The contractor is further advised that decreases which affect the cost of materials are required to be communicated immediately to the Procurement office.

PRIME CONTRACTOR RESPONSIBILITIES: The contractor shall be responsible for completely supervising and directing the work under this contract and all subcontractors that he may utilize, using his best skill and attention. Subcontractors who perform work under this contract shall be responsible to the prime contractor. The contractor agrees that he is as fully responsible for the acts and omissions of his subcontractors and of persons employed by them as he is for the acts and omissions of his own employees.

RENEWAL OF CONTRACT: This contract may be renewed by the University for five (5) successive one year periods under the terms and conditions of the original contract. Price increases may be negotiated only at the time of renewal. Written notice of the University's intention to renew shall be given approximately sixty (60) days prior to the expiration date of each contract period.

STANDARDS OF CONDUCT IN THE WORKPLACE: The University of Mary Washington, an agency of the Commonwealth of Virginia, strictly forbids harassment of any employee, applicant for employment, vendor, contractor or volunteer in the workplace, on the basis of an individual's race, sex, color, national origin, religion, sexual orientation, age, veteran status, political affiliation or disability. The Commonwealth will not tolerate any form of retaliation directed against an employee or third party who either complains about harassment or who participates in any investigation concerning harassment. http://web1.dhrm.virginia.gov/itech/hrpolicy/pol1_80.html. Pursuant to the authority provided in Chapter 10 and 12, Title 2.2 of the Code of Virginia.

IV. METHOD OF PAYMENT: The contractor shall be paid using the following method for all University initiated procurements:

Check or ACH: Payment will be made 30 days after satisfactory performance of the contract in all provisions thereof and upon receipt of a properly completed invoice, whichever is later; in accordance with the Virginia Prompt Payment Act. Ref.: Code of Virginia, Sections 11-62.1 through 11-62.9; "Prompt Payment Act" memorandum issued by the Office of the Comptroller, June 27, 1984.

To be considered eligible for payment, all invoices must be received at the following address should reference the eVA purchase order and UMW contract numbers:

University of Mary Washington
Attention: Accounts Payable
1301 College Avenue
Fredericksburg, VA 22401

Contractor Initials/Date:

PROFESSIONAL SERVICES AGREEMENT

This Agreement is made between the University of Mary Washington (hereinafter referred to as University), 1301 College Avenue, Fredericksburg, VA 22401, and Strata Information Group (hereinafter referred to as SIG), 3935 Harney Street, Suite 203, San Diego, California 92110.

1. Services

SIG will provide services as directed in the completion of the tasks set forth in Exhibit A, General Statement of Work, attached to and made a part of this Agreement. SIG agrees to keep the University regularly informed of the progress of work performed under this Agreement.

2. Compensation

The University will pay SIG \$160.00 per hour plus reasonable travel expenses to provide the services specified in the SOWs. SIG will utilize the current GSA/State of Virginia rules for expenses: currently lodging is \$89/night, and per diem (meals and incidental expenses) is \$51/day. SIG will invoice monthly for labor, travel time, and travel expenses. Payment indicates acceptance of service. Rates for services are effective for 12 months from the date of the Agreement and may increase by \$5.00 per hour for each year thereafter. No other increase in the amount or scope of services is authorized without formal amendment to this Agreement.

3. Cancellation of Scheduled Services

The parties agree that once the University and SIG have scheduled a specific time during which SIG will provide services under the terms of this Agreement, the University shall pay SIG for such services as if SIG had performed such services on the date scheduled, unless the University has notified SIG that the University would like to reschedule or cancel the provision of such services at least fifteen (15) business days prior to the date on which SIG is scheduled to perform such services. The University's payment shall include the full cost of scheduled consulting services and all actual out-of-pocket travel expenses such as non-refundable airline tickets.

4. Term

This Agreement is effective June 1, 2016 and will continue in effect until May 31, 2017. The Agreement may be extended if agreed to in writing by both parties. Either party may cancel this Agreement with 60 days' written notice to the other party.

5. Non-Hire Provision

During the term of this Agreement and for 3 months after it ends, SIG will not hire any full time employee of the University without the University's permission, and the University will not hire or contract with any full time employee of SIG without SIG's permission.

6. Reports

Any and all files, notes, reports, manuscripts and any other work produced, prepared or developed by SIG as a part of the work under this Agreement are the property of the University and shall be provided to the University upon the termination of this Agreement.

7. Independent Contractor

SIG will control the means and manner in which work is performed under this Agreement, and, in all respects, SIG's relationship to the University will be that of an independent contractor, not an employee.

8. Entire Agreement

The entire Agreement includes this Service Agreement and the University of Mary Washington's Standard Contract which contains any negotiated items as well as their Terms and Conditions. All aforementioned Agreements between the parties hereto supersede any and all other Agreements heretofore made.

9. Ownership of Works for Hire

All matters produced under this Agreement shall be works for hire and shall become the sole property of the University. Said works cannot be used for any other client or purposes without the University's expressed written permission. The University shall have all right, title and interest in said matters, including the right to obtain and maintain the copyright, trademark, and/or patent of said matters in the name of the University.

10. Worker's Compensation Insurance

SIG agrees to procure and maintain in full force and effect worker's compensation insurance covering its partners, employees and agents while said persons are performing services pursuant to this Agreement. In the event that an employee of SIG performing this Agreement files a worker's compensation claim against the University, SIG agrees to defend and hold the University harmless from such claim.

11. Nondiscrimination in Employment

SIG agrees that it will not engage in unlawful discrimination in employment because of race, color, religious creed, national origin, ancestry, physical handicap, marital status, or sex.

For University of Mary Washington:

For Strata Information Group:

Melva H. H. [Signature]

Signature

Date

5/20/16

Henry A. Einstad [Signature]

Henry A. Einstad
President

5/19/16

Date

MELVA H. H. [Printed Name]

(Please print name and title)

ASST DIR, PROCUREMENT

Exhibit A
General Statement of Work

University of Mary Washington
Strata Information Group
Consulting Services

Under the terms of this Agreement, Strata Information Group (SIG) will provide consulting services for the staff of the University of Mary Washington, as directed, to perform the following work:

As described in SIG's proposal dated March 16, 2016



March 16, 2016

**Information
Technology
& Management**

Ms. Michelle Miller
University of Mary Washington
Procurement Services
Eagle Village Executive Offices, Suite 480
1125 Jefferson Davis Hwy.
Fredericksburg, VA 22401

RE: Request for Proposal (RFP) 16-515 for Banner® Financial Aid Consulting

Dear Ms. Miller:

Strata Information Group (SIG) is responding to the University of Mary Washington's (UMW) Request for Proposal (RFP) for Banner® Financial Aid Consulting services. SIG has provided similar services to many higher education institutions and is well qualified to assist UMW with the services described in the RFP.

SIG has proven experience in meeting and exceeding all of the qualifications as outlined in the RFP:

- SIG has been working in higher education for over 29 years, and has provided consulting services to more than 400 higher education institutions.
- SIG consultants have knowledge of UMW's financial aid systems and staff.
- SIG has provided similar Banner® services for scores of higher education institutions.
- SIG can also provide a variety of other Banner® consulting services if desired by the University.

We look forward to the opportunity to meet with your evaluation/selection committee to review our proposal and discuss why SIG is the best choice for this work. If you have any questions about SIG's proposal, please contact me at 619.296.0170 (phone) or eimstad@sigcorp.com (email).

Respectfully submitted,

A handwritten signature in blue ink that reads "Henry A. Einstad".

Henry A. Einstad
President

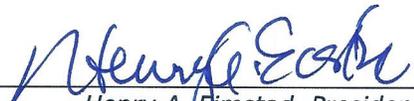
Enclosures

University of Mary Washington



**Request for Proposal (RFP): 16-515
Banner® Financial Aid Consulting**

March 16, 2016


Henry A. Elmstad, President



Strata Information Group

University of Mary Washington
Request for Proposal (RFP): 16-515
Banner® Financial Aid Consulting

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University of Mary Washington
Request for Proposal (RFP)
Banner® Financial Aid Consulting

INTRODUCTION

Strata Information Group, Inc. (SIG), is responding to the University of Mary Washington's (UMW or University) Request for Proposal (RFP). SIG understands that UMW is soliciting proposals from qualified offerors to provide Banner® Financial Aid consulting services, including implementation and process analysis, to the Financial Aid Office. SIG is well qualified to assist UMW with this project. SIG has assisted many higher education clients with similar Banner® Financial Aid services, providing both improvements and enhancements to functionality as required. Additionally, SIG has recently worked with UMW to update Banner® Financial Aid and SSB modules. SIG can also provide a range of other Banner® consulting services if desired by the University.

Based on RFP requirements, SIG's services will include the following:

- Implementation and process analysis of the Banner® Financial Aid and Self-Service Banner® (SSB) modules.
- SIG will work with the University's financial aid staff to redesign, test, and implement critical efficiency and technical improvements to ensure compliance with best practices in financial aid management for higher education.
- SIG will assist with modernization of internal processes, improved communication, and improved procedural documentation to support important upcoming changes in financial aid.
- SIG consultant(s) assigned to this project can be on-site for 3 consecutive days each quarter, as scheduled in advance, to assist with the modernization project and review overall progress.
- SIG consultant(s) can be available for phone or email support during normal business hours, Monday through Friday, throughout the duration of the project. However, SIG consultants service many clients and availability depends on activities scheduled with other clients.
- SIG consultant(s) who may be assigned to this project are well-versed in the SQL language and will create scripts necessary to ensure Banner® processes run smoothly within the job scheduler, Banner® Financial Aid module, and internal reports.

SIG assists higher education institutions in assessing all facets of their technology operations, staffing, services, support, network, and infrastructure as well as organizational and governance structures. Using a proven, structured methodology that is project based, SIG specialists analyze existing system demands, user needs, business and instructional requirements, and anticipated initiatives or strategies that will require technology support and services. Best practice recommendations provide tactical solutions that can position the University to be more efficient and productive in its use of technology.

SIG has proven experience in meeting and exceeding all of the qualifications as outlined in the RFP:

- SIG has been working in higher education for over 29 years, and has provided consulting services to more than 400 higher education institutions.
- SIG consultants have knowledge of UMW's financial aid systems and staff.
- SIG has provided similar Banner® services for scores of higher education institutions.
- SIG can also provide a variety of other Banner® consulting services if desired by the University.

SIG's senior consultants are experienced professionals who can help clients with information technology and the complex challenges that accompany change. In addition to the functional and

technical aspects of the work, there is a general requirement for leadership, change management, application of best practices, anticipation of risks and opportunities, and communication. SIG's focus in every engagement is on success, collaboration, and pragmatic completion of work assignments. SIG's collaborative approach facilitates knowledge transfer to University staff, ensuring the institution's ability to maintain the system going forward.

Specifically, sections of this proposal are devoted to the following:

- Responses to RFP requirements
- Pricing
- Attachments with required forms
- Appendices with supporting material

SIG is vendor neutral and therefore does not sell hardware or software. It does not promote products or services or have partnership agreements or contracts with any hardware or software company. SIG works effectively with Jenzabar, Oracle, Ellucian, Blackboard, Campus Management, Desire 2 Learn, SAP, UC4, Workday, and other vendors.

RESPONSES TO RFP REQUIREMENTS

This portion of SIG's proposal provides responses to all requirements in UMW's Request for Proposal (RFP) for Banner® Financial Aid Consulting services.

Section VII. Proposal Preparation Instructions

Proposals should be as thorough and detailed as possible so that the Proposal Evaluation Team can properly evaluate the Offeror's capabilities to provide the required services. Offerors are required to submit the following items within the proposal:

A. Complete and return signed RFP cover page. Proposals shall be signed by an authorized representative of the Offeror.

SIG's Response: The RFP cover page, signed by an authorized representative of the company, is provided in Attachment 1.

B. Complete and return signed addenda acknowledgments (if applicable).

SIG's Response: The completed, signed acknowledgement of addenda is provided in Attachment 1.

C. Submit a complete response to the RFP, separated by tabs:

- 1. A brief description (no more than 2 pages) regarding the Offeror's operational expertise, describing the firm's capability to provide a successful product if awarded, that includes:
 - a. Description and history of the Offeror including the nature and scope of its operation, how long the firm has been doing business, and a description of the full range of products or services provided by the firm.*
 - b. Description of the firm's experience in providing similar products or services to other agencies, specifically including other Institutions of Higher Education, state agencies, or other governmental entities and how many years the firm has provided the products or services to these agencies.**
- 2. Provide three (3) current or recent references, preferably from Higher Education institutions in similar size to UMW, where the firm has provided similar services or products. Information should include the name of the company, a primary contact name, phone number, and email address if available.*
- 3. A statement or brief description of how the proposed solution can meet each requirement as listed in Section IV. STATEMENT OF NEEDS.*
- 4. Submit any other services offered by the firm that UMW may have access to in addition to the Banner Financial Aid consulting and include in Cost Proposal.*
- 5. Completed Cost Proposal table as outlined on ATTACHMENT A. COST PROPOSAL.*
- 6. Submit a copy of any service, license/software, or maintenance agreement requiring signature before commencement of services with the proposal submission for UMW to review.*

SIG's Response: SIG's responses to the above requirements (under "C") are provided on the following pages, separated by tabs.

Description of SIG's Operational Expertise, History, and Experience

C. Submit a complete response to the RFP, separated by tabs:

1. A brief description (no more than 2 pages) regarding the Offeror's operational expertise, describing the firm's capability to provide a successful product if awarded, that includes:
 - a. Description and history of the Offeror including the nature and scope of its operation, how long the firm has been doing business, and a description of the full range of products or services provided by the firm.
 - b. Description of the firm's experience in providing similar products or services to other agencies, specifically including other Institutions of Higher Education, state agencies, or other governmental entities and how many years the firm has provided the products or services to these agencies.

SIG's Response: SIG is a privately held corporation based in San Diego, California, owned by two managing partners. The company was founded in 1987, has served the field of higher education for more than 29 years, and is consistently profitable with no outstanding debt. SIG has provided IT services to more than 400 clients across the United States and internationally, including more than 350 Banner® clients. SIG's primary objective is to assist colleges and universities with information technology initiatives that enhance services to students, faculty, staff, alumni, and the community. With its focus on customer satisfaction and through its consultant expertise and experience, SIG has grown to be one of the largest privately held providers of technology support and services to higher education in the United States.

SIG provides a wide range of services, including enterprise system acquisition, ERP and software implementation, Banner® assessment and redesign services, Degree Works™ services, information technology (IT) assessments and strategic planning, business process analysis, project management, functional and technical consulting, training, instructional technology planning, and database administration.

SIG has provided financial aid services, including implementations and process analysis, for a number of higher education institutions, including the following:

- Abilene Christian University, Texas
- Allan Hancock College
- Antelope Valley College, California
- Barstow Community College, California
- Cuesta College, California
- Drew University, New Jersey
- Eastern Florida State College, Florida
- Eastern New Mexico University, New Mexico
- Eastern Washington University, Washington
- Feather River College, California
- Hawaii Pacific University, Hawaii
- Indiana State University, Indiana
- Lincoln Land Community College, Illinois
- Mt. San Antonio College
- North Orange County Community College District
- Piedmont Technical College, South Carolina
- San Mateo County Community College District
- Tarleton State University, Texas
- Temple University, Pennsylvania
- Texas A&M University – Texarkana, Texas
- University of Hawaii at Hilo, Hawaii
- Horry Georgetown Technical College, South Carolina
- University of Mary Washington, Virginia
- Ventura County Community College District, California
- William Paterson University, New Jersey

For examples of services similar to those requested by UMW, please see the case study provided in Appendix C.

SIG Consultants

SIG's talented consultants have many years of experience. They are able to assess a client's needs and requirements, clarify issues, provide guidance and recommendations based on best practices, establish clear opportunities, and facilitate both strategic and tactical outcomes. They are seasoned professionals devoted to the success of their clients. Brief summaries of SIG's experienced Financial Aid consultants are included as follows. Detailed profiles of SIG's Financial Aid consultants are included in Appendix B.

- **Norm Rahn** is a Banner® Financial Aid specialist with over 26 years of experience in higher education, 22 years of experience in information technology systems, and over 15 years of experience with Ellucian Banner® Financial Aid. Mr. Rahn has served as a senior consultant for the implementation of Banner® at numerous client sites, providing high-level financial aid consulting, assistance in developing processes and configuration of Banner® to support awarding and disbursement of scholarships, implemented suggested business process enhancements and the associated enhancements of Banner® functionality, and has developed procedures and configurations to support loans that crossed over aid periods.
- **Mike Cummiskey** is a Banner® Financial Aid specialist with over 25 years' experience in higher education and over 22 years' experience with Ellucian Banner® Financial Aid. Mr. Cummiskey is highly skilled in the implementation of financial aid systems, as well as an experienced project manager, consultant, and implementation specialist. He has served as a senior consultant for the implementation of Banner® Financial Aid at numerous client sites, providing high-level financial aid consulting, functional consulting to Banner® Financial Aid users for improving current business practices, high-level financial aid assessments of current Banner® business processes, and ongoing financial aid consulting and training to staff.
- **Mary Krallman** is a senior consultant with SIG. She is a Banner® Financial Aid specialist with 23 years' experience in higher education, 18 years' experience with Ellucian Banner® Financial Aid, and 23 years' experience in college and university financial aid operations. Ms. Krallman is highly skilled in the implementation of financial aid systems as well as an experienced consultant and implementation specialist. Her responsibilities have included providing functional consulting to users of Banner® Financial Aid to improve current business practices, assisting with satisfactory academic progress, resolving financial aid system problems at client sites, and training financial aid staff.
- **Connie O'Shea** is a senior consultant with SIG. She is a Banner® financial aid specialist with 34 years' experience in higher education, 15 years' experience with Banner® Financial Aid, and 23 years' experience in college and university financial aid operations. Mrs. O'Shea's experience has included providing implementation support for Banner® Financial Aid systems, conducting process improvement assessment activities, assisting client IT technical staff in the conversion of legacy data, and assisting clients in the development of written and multimedia materials to support Banner® Financial Aid software.

Additionally, SIG has many functional and technical consultants who can be engaged as needed to lend their specific expertise to a project.

SIG References

2. Provide three (3) current or recent references, preferably from Higher Education institutions in similar size to UMW, where the firm has provided similar services or products. Information should include the name of the company, a primary contact name, phone number, and email address if available.

SIG's Response: SIG's recent higher education references, similar in size to UMW, where SIG has provided similar services, include the following:

Client	University of Hawaii at Hilo (Hawaii)
Contact Person	Sherrie Padilla, Director of Financial Aid
Contact Phone Number	808-932-7451
Address/URL	200 W Kawili Street, Hilo, HI 96720-4091 www.uhh.hawaii.edu
Email	sherriep@hawaii.edu
Description of Services	<ul style="list-style-type: none"> ■ Banner® Financial Aid consulting ■ Banner® Financial Aid enhancements

Client	William Paterson University (New Jersey)
Contact Person	Michael V Corso Jr., M.Div., Director of Financial Aid
Contact Phone Number	973-720-3121
Address/URL	300 Pompton Road, Wayne, NJ 07470 www.wpunj.edu
Email	corsom1@wpunj.edu
Description of Services	<ul style="list-style-type: none"> ■ Conducted an assessment of the use of Banner® Financial Aid ■ Streamlined ISIR data load processes ■ Implemented period-based algorithmic budgeting

Client	San Mateo County Community College District (California)
Contact Person	Kathy Blackwood, Executive Vice Chancellor
Contact Phone Number	650-358-6869
Address/URL	3401 CSM Drive, San Mateo, CA 94402 www.smccd.edu
Email	blackwoodk@smccd.edu
Description of Services	<ul style="list-style-type: none"> ■ Banner® financial aid implementation ■ Business process analysis services for: <ul style="list-style-type: none"> □ Financial Aid □ Student Services operations □ Enrollment management □ International Education □ Human Resources ■ Banner® functional/technical consulting

Client	Aims Community College (Colorado)
Contact Person	Nancy Gray, PhD, Director, Financial Aid
Contact Phone Number	970-339-6392
Address/URL	5401 W. 20th St., Greeley, CO 80632 www.aims.edu
Email	nancy.gray@aims.edu
Description of Services	<ul style="list-style-type: none"> ■ Regulatory maintenance support of Banner® Financial Aid releases ■ Banner® services

Client	Citrus College (California)
Contact Person	Joyce Miyabe, MBA Technology Management TeC Services (IT Department), ERP Coordinator
Contact Phone Number	626-857-4001
Address/URL	1000 West Foothill Boulevard • Glendora, CA 91741-1885 www.citruscollege.edu
Email	jmiyabe@citruscollege.edu
Description of Services	<ul style="list-style-type: none"> ■ Regulatory maintenance support of Banner® FA releases ■ Cal Grant Roster Download and Upload Implementation ■ Reimplementation of Satisfactory Academic Progress Rules

Client	Drew University (New Jersey)
Contact Person	E. Axel Larsson, Director Enterprise Technology
Contact Phone Number	973-408-3048
Address/URL	36 Madison Ave., Madison, NJ 07940 http://www.drew.edu/
Email	elarsson@drew.edu
Description of Services	<ul style="list-style-type: none"> ■ Banner® project management ■ Banner® implementation services ■ Banner® functional and technical consulting services <ul style="list-style-type: none"> □ Financial Aid □ Student □ Finance □ HR/Payroll ■ Banner® Relationship Management (BRM) ■ Banner® Workflow consulting ■ Luminis® consulting ■ Database and Systems Administration (DBA) services ■ Degree Works™ implementation ■ Business Process Analysis

Client	Eastern New Mexico University - Portales
Contact Person	Clark Elswick, Vice President of Technology and System CIO
Contact Phone Number	575-562-4490
Address/URL	1500 S Ave K, Station 15, Portales, NM 88130 http://enmu.edu
Email	clark.elswick@enmu.edu
Description of Services	<ul style="list-style-type: none"> ■ Banner® services ■ DBA services ■ Banner® HR/Payroll, Financial Aid, Student, and Finance consulting ■ Banner® CAPP functional support ■ Banner® Workflow installation, implementation, and training ■ IPeds reporting support

Section IV. Statement of Needs

3. *A statement or brief description of how the proposed solution can meet each requirement as listed in Section IV. STATEMENT OF NEEDS.*

SIG's Response: SIG can meet each of the UMW requirements listed in Section IV, Statement of Needs. A brief response to each of the requirements is provided in the following table.

RFP Requirement	SIG Response
1. Implementation and process analysis on the Banner® Financial Aid (FA) and Self-Service Banner (SSB) modules.	SIG financial aid consultants have many years of experience working with the Banner® financial aid and SSB modules. They can provide their expertise and experience to assist UMW with implementation and process analysis as requested. Detailed profiles of SIG consultants are provided in Appendix B.
2. The consultant shall work with Banner® FA and the University's Financial Aid Staff to redesign, test, and implement critical efficiency and technical improvements to ensure compliance with best practices in Financial Aid management for Higher Education.	SIG works with clients to install, test, review, plan upgrade strategies, redesign, and implement critical efficiencies and technical improvements as required. SIG consultants work side by side with an institution's staff to assist with project requirements, ensure knowledge transfer, and sharing of best practices.
3. The consultant shall assist with modernization of internal processes, improved communication, and improved procedural documentation to support important upcoming changes in financial aid.	SIG consultants work with client staff to assist with updating internal processes and improved communication. SIG's senior consultants have a library of documentation and tools available to them to perform their work. Many of these tools and templates are used to create client documentation. However, since each client typically has different needs, SIG prefers to work directly with the client to determine the best set of documentation for each specific engagement. SIG consultants develop documentation that typically includes instructions with screen shots, checklists, and various job aids to support upcoming changes in financial aid. In addition, knowledge transfer with staff ensures that a new application or system modification can be maintained.
a. The consultant shall be on-site for 3 consecutive days each quarter, as needed, to assist with the modernization project and review progress.	SIG consultant(s) assigned to this project can be on-site for 3 consecutive days each quarter, as scheduled in advance, to assist with the modernization project and review overall progress.
4. The consultant shall be available for support by phone or email during normal business hours of 8am-5pm, Monday through Friday.	SIG consultants are experienced at working with a client remotely. SIG consultant(s) can be available for phone or email support during normal business hours, Monday through Friday, throughout the duration of the project. However, SIG consultants service many clients and availability depends on activities scheduled with other clients.

RFP Requirement	SIG Response
5. The consultant shall be well-versed in SQL language and be able to create scripts necessary to ensure Banner® processes run smoothly within the job scheduler, Banner FA module, and internal reports.	SIG's financial aid consultants are well-versed in SQL language and able to create scripts necessary to ensure Banner® processes run smoothly within job scheduler, the financial aid module, and internal reports. Please see the following table that provides an overview of consultant skill sets.
6. Deliverables:	
a. With the inception of the Prior Prior Year (PPY) processing for 2017–2018 that will begin in October 2016, it is important to have the Banner® systems ready to begin importing ISIR data.	SIG financial aid consultants are experienced with ISIR processing/functionality enhancements for the ISIR Data Load processes as well as for direct loan processing. SIG consultants will work with UMW to ensure that the University's Banner® systems are ready to begin importing ISIR data within the required timeframe.
b. Work to update automated packaging, net tuition models, and awarding parameters will need to be set by late fall; therefore, the consultant must be ready to assist UMW with this work no later than September 1, 2016.	SIG can provide a Banner® financial aid consultant(s) to assist UMW with automated packaging updates, net tuition models, and setting awarding parameters within the required time frame.
7. Other Value-Added services:	
State any additional value-added services the firm is able to provide including other consulting areas, etc. Please include a pricing table of other services offered on Attachment A. and submit with proposal.	<p>Additionally, SIG can provide the following optional support services:</p> <ul style="list-style-type: none"> ■ Functional and technical support services for: <ul style="list-style-type: none"> ❑ Banner® Student including the Self-Service functionality ❑ Banner® Finance including the Self-Service functionality ❑ Banner® Human Resources including the Self-Service functionality ❑ Banner® Financial Aid including Self-Service functionality ❑ Banner® Advancement including Self-Service functionality ❑ Banner® Document Management ❑ Banner® WorkFlow ❑ Luminis® and the Portal Environment ❑ Degree Works™ ❑ CAPP® ■ Other technical and functional services for Banner® and associated third-party vendor products ■ Project management services ■ Assessments ■ Business Process Analysis and Redesign ■ Banner®/Oracle Database Administration ■ Document Management and Imaging Solutions ■ Staff Augmentation and Management Services ■ Information Technology Planning Services

The following table provides an overview of SIG consultants' skill sets and expertise with Banner® Financial Aid and relevant software.

Skills/Experience	Cummiskey, M.	Krallman, M.	Rahn, N.	O'Shea, C.	Average Years' Experience
Years of Experience					
Higher Education	26	25	27	35	26
IT	26	25	23	16	22
Banner®	24	20	16	16	19
Banner® Financial Aid					
Application Record Creation	✓	✓	✓	✓	
Award History	✓	✓	✓	✓	
Budgeting	✓	✓	✓	✓	
College Board PowerFAIDS®	✓				
Disbursement	✓	✓	✓	✓	
Electronic Data Exchange/Dataload	✓	✓	✓	✓	
Fin Aid Common Functions	✓	✓	✓	✓	
Funds Management	✓	✓	✓	✓	
Load Processing	✓	✓	✓	✓	
Need Analysis	✓	✓	✓	✓	
New Year Set-up Aid	✓	✓	✓	✓	
Packaging	✓	✓	✓	✓	
Post Implementation Assessment	✓	✓	✓	✓	
Reporting	✓	✓	✓	✓	
Requirements Tracking	✓	✓	✓	✓	
Return of Title IV Funds	✓	✓	✓	✓	
Satisfactory Academic Progress	✓	✓	✓	✓	
Self-Service Banner®	✓	✓	✓	✓	
Short-term Credit	✓	✓	✓	✓	
Student Aid for Global Markets					
Student Employment	✓	✓	✓	✓	
Student Sys Shared Data	✓	✓	✓	✓	
Transcripts		✓			
Transfer Monitoring	✓	✓	✓	✓	
Verification	✓	✓	✓	✓	
Other					
Algorithmic Packaging	✓	✓	✓	✓	
BDM	✓	✓	✓	✓	
BDM Reporting					
BPA	✓	✓	✓	✓	

Skills/Experience	Cummiskey, M.	Krallman, M.	Rahn, N.	O'Shea, C.	Average Years' Experience
Compliance	✓	✓		✓	
Degree Works™	✓	✓	✓		
IM-Institutional Methodology	✓	✓	✓		
Loans (FFELP)	✓	✓	✓	✓	
Reporting	✓		✓	✓	
SQL	✓	✓	✓	✓	
PL/SQL®			✓		
Argos®	✓				
Workflow			✓		
UC-4	✓	✓			
Period-based & algorithmic Budgeting	✓	✓	✓	✓	
Scholarship Manager®			✓		

Other Services Offered by SIG

4. *Submit any other services offered by the firm that UMW may have access to in addition to the Banner® Financial Aid consulting and include in Cost Proposal.*

SIG's Response: Other services offered by SIG include the following:

- Functional and technical support services for:
 - ❑ Banner® Student including the Self-Service functionality
 - ❑ Banner® Finance including the Self-Service functionality
 - ❑ Banner® Human Resources including the Self-Service functionality
 - ❑ Banner® Financial Aid including Self-Service functionality
 - ❑ Banner® Advancement including Self-Service functionality
 - ❑ Banner® Document Management
 - ❑ Banner® WorkFlow
 - ❑ Luminis® and the Portal Environment
 - ❑ Degree Works™
 - ❑ CAPP®
- Other technical and functional services for Banner® and associated third-party vendor products
- Project management services
- Assessments
- Business Process Analysis and Redesign
- Banner®/Oracle Database Administration
- Document Management and Imaging Solutions
- Staff Augmentation and Management Services
- Information Technology Planning Services

Completed Cost Proposal Table

5. Completed Cost Proposal table as outlined on ATTACHMENT A. COST PROPOSAL.

SIG's Response: SIG agrees to provide the services, to include all labor, services, and materials, in compliance with the statement of need and all terms and conditions of this Sealed Request for Proposals, at the prices listed below. As allowed according to item 3 in Addendum 1, SIG is providing the following alternate pricing table.

Services	Cost per Hour	
	Remote Rate (per hour)	On-Site Rate/ Travel (per hour)
Banner® Financial Aid Consultant Services	\$175	\$210
Additional Services (optional): <ul style="list-style-type: none"> ■ Functional and technical support services for: <ul style="list-style-type: none"> <input type="checkbox"/> Banner® Student including the Self-Service functionality <input type="checkbox"/> Banner® Finance including the Self-Service functionality <input type="checkbox"/> Banner® Human Resources including the Self-Service functionality <input type="checkbox"/> Banner® Financial Aid including Self-Service functionality <input type="checkbox"/> Banner® Advancement including Self-Service functionality <input type="checkbox"/> Banner® Document Management <input type="checkbox"/> Banner® WorkFlow <input type="checkbox"/> Luminis® and the Portal Environment <input type="checkbox"/> Degree Works™ <input type="checkbox"/> CAPP® ■ Other technical and functional services for Banner® and associated third-party vendor products ■ Project management services ■ Assessments ■ Business Process Analysis and Redesign ■ Banner®/Oracle Database Administration ■ Document Management and Imaging Solutions ■ Staff Augmentation and Management Services ■ Information Technology Planning Services 	\$175	\$210

SIG Professional Services Agreement

6. *Submit a copy of any service, license/software, or maintenance agreement requiring signature before commencement of services with the proposal submission for UMW to review.*

SIG's Response: A sample professional services agreement is provided in Attachment 2.

Value-Added Services

7. *State any additional value-added services the firm is able to provide including other Consulting areas, etc. Please include a pricing table of other services offered on Attachment A. and submit with proposal.*

SIG's Response: SIG can provide a variety of consulting services, including the following:

- Functional and technical support services for:
 - ❑ Banner® Student including the Self-Service functionality
 - ❑ Banner® Finance including the Self-Service functionality
 - ❑ Banner® Human Resources including the Self-Service functionality
 - ❑ Banner® Financial Aid including Self-Service functionality
 - ❑ Banner® Advancement including Self-Service functionality
 - ❑ Banner® Document Management
 - ❑ Banner® WorkFlow
 - ❑ Luminis® and the Portal Environment
 - ❑ Degree Works™
 - ❑ CAPP®
- Other technical and functional services for Banner® and associated third-party vendor products
- Project management services
- Assessments
- Business Process Analysis and Redesign
- Banner®/Oracle Database Administration
- Document Management and Imaging Solutions
- Staff Augmentation and Management Services
- Information Technology Planning Services

These optional services are included in the pricing table on page 15.

SUMMARY OF SIG'S QUALIFICATIONS

SIG understands that the UMW has its own criteria for evaluation of vendor proposals; however, SIG feels it is well qualified to provide the services that are being requested in this RFP. Following is a summary of SIG's qualifications:

- The company's demonstrated qualifications and experience
- Experience at UMW
- A clear understanding of the capabilities and interaction of Banner® with other-third party products
- The demonstrated qualifications and experience of technical personnel with the Banner® Financial Aid module
- A large workforce of consultant employees with an average of 15 years' experience in higher education and technology systems
- The expertise of functional consultants experienced in project management, training, assessments, process analysis and improvement, and educational planning
- The demonstrated quality and completeness of the proposal, and the extent to which it reflects an understanding of the University's desired services
- Proven methodology that is based in best practices
- Excellent references from SIG clients in higher education

Qualities that differentiate SIG from competitors include the following:

- SIG has been in business since 1987 and has assisted many colleges and universities across the United States. Higher education is its sole line of business.
- SIG is one of the largest privately held technology consulting firms serving higher education in the United States.
- SIG has a substantial track record with respect to IT and functional consulting, having provided services to more than 400 colleges and universities.
- SIG's client list is extensive and includes references who speak very favorably about the company and the quality of its consultant staff.
- SIG's cost proposal is competitive. Moreover, it is scalable up or down and can be adjusted to meet the precise needs of UMW.

Attachment 1: Required Forms

Signed RFP Cover Page

Attachment B: Small Business Subcontracting Plan

Addendum 1 and 2

SEALED REQUEST FOR PROPOSALS (RFP)

ISSUE DATE: February 24, 2016

RFP NUMBER & TITLE: RFP 16-515 Banner Financial Aid Consulting

PROPOSAL DUE DATE & TIME: **March 16, 2016 @ 10:00am EST**

ISSUING AGENCY & ADDRESS: University of Mary Washington
Procurement Services
Eagle Village Executive Offices, Suite 480
1125 Jefferson Davis Hwy., Fredericksburg, VA 22401

WORK LOCATION: Fredericksburg, VA

COMMODITY CODE(S): 91800, 91829, 96156, 92040, 92045

CONTRACT OFFICER: Michelle Miller **EMAIL:** mmiller8@umw.edu

PERIOD OF CONTRACT: Date of Award through One year with five (5) one-year renewals options.

In compliance with this Sealed Request for Proposal (RFP) and to all the conditions imposed therein and hereby incorporated by reference, the undersigned firm offers and agrees to furnish the goods/services in accordance with the attached signed proposal or as mutually agreed upon by subsequent negotiation. The undersigned firm hereby certifies that all information provided below and in schedule or attachment of this document is true, correct and complete.

THIS FORM MUST BE COMPLETED AND RETURNED WITH PROPOSAL

Name of Offering Firm: Strata Information Group, Inc.

Address of Offering Firm: 3935 Harney Street, Suite 203, San Diego, CA 92110

DSBSD Designation (Check All That Apply): Micro Small Woman-Owned Minority-Owned

DSBSD Certification No.: _____ Expiration Date: _____

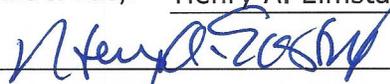
Virginia Contractor License No. : _____ Class: _____

eVA ID or DUNS No.: 18-635-4148 FEIN: 33-0278391

Email: sig@sigcorp.com Telephone: 619-296-0170

Website: www.sigcorp.com Fax: 619-296-0171

Submitted By (Print Name & Title): Henry A. Eimstad, President

Signature (In Ink):  Date: 03/14/2016

RFP Notification Received By: eVA VBO The Free Lance-Star Other: _____

ATTACHMENT B

SMALL BUSINESS SUBCONTRACTING PLAN
MUST BE COMPLETED AND RETURNED WITH BID OR PROPOSAL PACKAGE

All small businesses must be certified by the Commonwealth of Virginia, Department of Small Business and Supplier Diversity (DSBSD) by the due date of the solicitation to participate in the SWaM program. Certification applications are available through DSBSD online at <http://sbsd.virginia.gov>.

DEFINITIONS:

"Small business" means a business independently owned and controlled by one or more individuals who are U.S. citizens or legal resident aliens, and together with affiliates, has 250 or fewer employees, or average annual gross receipts of \$10 million or less averaged over the previous three years. One or more of the individual owners shall control both the management and daily business operations of the small business. *Note: DSBSD-certified women- and minority-owned businesses shall also be considered small businesses when they have received DSBSD small business certification. (Code of Virginia, § 2.2-4310)*

"Woman-owned business" means a business that is at least 51% owned by one or more women who are U.S. citizens or legal resident aliens, or in the case of a corporation, partnership, or limited liability company or other entity, at least 51% of the equity ownership interest is owned by one or more women who are U.S. citizens or legal resident aliens, and both the management and daily business operations are controlled by one or more women. (Code of Virginia, § 2.2-4310)

"Minority-owned business" means a business that is at least 51% owned by one or more minority individuals who are U.S. citizens or legal resident aliens, or in the case of a corporation, partnership or limited liability company or other entity, at least 51% of the equity ownership interest in the corporation, partnership, or limited liability company or other entity is owned by one or more minority individuals who are U.S. citizens or legal resident aliens, and both the management and daily business operations are controlled by one or more minority individuals. (Code of Virginia, § 2.2-4310)

Bidder Name: Strata Information Group, Inc.

Preparer Name: Henry A. Eimstad Date: 03/14/2016

INSTRUCTIONS:

- A. If you are certified by the Department of Small Business and Supplier Diversity (DSBSD) as a small business, complete only Section A of this form. This shall not exclude DSBSD-certified women-owned and minority-owned businesses when they have received DSBSD small business certification.
- B. If you are not a DSBSD-certified small business, complete Section B of this form. For the bid to be considered and the bidder to be declared responsive, the bidder shall identify the portions of the contract that will be subcontracted to DSBSD-certified small business in Section B.



ADDENDUM
March 8, 2016

ADDENDUM NO. 1 TO ALL OFFERORS:

Reference - Request for Proposals: RFP 16-515 Banner Financial Aid Consulting
Date Issued: February 24, 2016
For Delivery to: University of Mary Washington, Commonwealth of Virginia
Proposal Due Date: March 16, 2016 at 10:00am

This addendum consists of one (1) pages.

Questions from Offerors:

- 1. IV.A.5 - Does the Financial Aid Office utilize any additional systems for their internal reporting? If so, please describe.

Banner is the system of record for most internal reports and we use SharePoint reports to gather data from Banner for both external reporting and internal compliance tracking. SharePoint reports are created by the UMW IT department based on criteria submitted and output desired.

- 2. IV.B.1 - Are there any specific value-added services that the University is interested in?

There are no specific value-added services at this moment that the University is interested in capitalizing on, however if the firm offers any other kinds of specific Consulting such as on other Banner modules or on Banner in general or other types of consulting, please include those services within the RFP. The intention of this RFP is to result in a cooperative contract that can be used by other Higher Education Institutions as well as other state agencies, so we would like to have the ability in this contract for others to potentially use the other services your firm may be able to provide even if they do not specifically need the Banner Financial Aid module consulting services.

- 3. If the pricing table provided is not specifically how our firm structures pricing, are we able to submit an alternative pricing table?

Yes, you may submit an alternative pricing table if your firm does not use the structure provided in the RFP. If we have any clarification questions in order to evaluate your proposal fairly against any other competitors, we will ask.

END OF ADDENDUM NO. 1

Michelle Miller
Buyer Specialist
Procurement Services
University of Mary Washington
Phone: (540)654-2260

RFP 16-515 Addendum No. 1 (and all addenda) should be acknowledged and included in the RFP submittal package.

NAME OF OFFERING FIRM: Strata information Group, Inc.

NAME OF OFFEROR REPRESENTATIVE: Henry A. Eimstad, President

OFFEROR SIGNATURE: [Handwritten Signature]
DATE: 03/14/2016

ADDENDUM
March 8, 2016

ADDENDUM NO. 2 TO ALL OFFERORS:

Reference – Request for Proposals: RFP 16-515 Banner Financial Aid Consulting
Date Issued: February 24, 2016
For Delivery to: University of Mary Washington, Commonwealth of Virginia
Proposal Due Date: March 16, 2016 at 10:00am

This addendum consists of one (1) pages.

Questions from Offerors:

- 1. Are you able to state the estimated hours or estimated total of resources needed for this project? Do you estimate needing multiple resources or just one?**

We are looking for quarterly visits to the campus for a minimum three-consecutive day period of time along with monthly one hour calls to review issues when needed. The resources needed also depend on how Financial Aid ends up according to the PPY regulatory changes. The maximum time may be anywhere from 100-125 hours but we do not want to set that in stone as that could change depending on the circumstances.

END OF ADDENDUM NO. 2

Michelle Miller
Buyer Specialist
Procurement Services
University of Mary Washington
Phone: (540)654-2260

RFP 16-515 Addendum No. 2 (and all addenda) should be acknowledged and included in the RFP submittal package.

NAME OF OFFERING FIRM: Strata Information Group, Inc.

NAME OF OFFEROR REPRESENTATIVE: Henry A. Eimstad, President

OFFEROR SIGNATURE: 

DATE: 03/14/2016

Attachment 2: Sample SIG Professional Services Agreement

PROFESSIONAL SERVICES AGREEMENT

This Agreement is made between [Client Name] (hereinafter referred to as [Client Name]), [insert address], and Strata Information Group (hereinafter referred to as SIG), 3935 Harney Street, Suite 203, San Diego, California 92110.

1. Services

SIG will provide services as directed in the completion of the tasks set forth in Exhibit A, General Statement of Work, attached to and made a part of this Agreement. SIG agrees to keep [Client Name] regularly informed of the progress of work performed under this Agreement.

2. Compensation

[Client Name] will pay SIG \$_____ per hour plus reasonable travel expenses to provide the services specified in Exhibit A. SIG will invoice monthly for labor, travel time and travel expenses. Payment indicates acceptance of service. Rates for services are effective for 12 months from the date of the Agreement and may increase by \$5.00 per hour for each year thereafter. No other increase in the amount or scope of services is authorized without formal amendment to this Agreement.

3. Cancellation of Scheduled Services

The parties agree that once [Client Name] and SIG have scheduled a specific time during which SIG will provide services under the terms of this Agreement, [Client Name] shall pay SIG for such services as if SIG had performed such services on the date scheduled, unless [Client Name] has notified SIG that [Client Name] would like to reschedule or cancel the provision of such services at least fifteen (15) business days prior to the date on which SIG is scheduled to perform such services. [Client Name]'s payment shall include the full cost of scheduled consulting services and all actual out-of-pocket travel expenses such as non-refundable airline tickets.

4. Term

This Agreement is effective [insert date] and will continue in effect until [insert date]. The Agreement may be extended if agreed to in writing by both parties. Either party may cancel this Agreement with 90 days written notice to the other party.

5. Non-Hire Provision

During the term of this Agreement and for 3 months after it ends, SIG will not hire any full-time employee of [Client Name] without [Client Name]'s permission, and [Client Name] will not hire or contract with any full time employee of SIG without SIG's permission.

6. Reports

Any and all files, notes, reports, manuscripts and any other work produced, prepared or developed by SIG as a part of the work under this Agreement are the property of [Client Name] and shall be provided to [Client Name] upon the termination of this Agreement.

7. Independent Contractor

SIG will control the means and manner in which work is performed under this Agreement and, in all respects, SIG's relationship to [Client Name] will be that of an independent contractor, not an employee.

8. Force Majeure

Neither party to this Agreement will be liable to the other for any failure or delay in performance under this Agreement due to circumstances beyond its reasonable control including without limitation: acts of God; accident; labor disruption; acts, omissions and defaults of third parties;

and official, governmental and judicial action not the fault of the party failing or delaying in performance.

9. Warranty

No warranty is stated or implied regarding the services provided under this Agreement.

10. Indemnification

SIG agrees to and shall indemnify, defend and hold harmless [Client Name], its officers, agents and employees free and harmless from, against and in respect of all claims, demands, losses, costs, expenses, obligations, liabilities, damages, recoveries and deficiencies, including interest penalties and reasonable attorney fees that [Client Name] shall incur or suffer, which arise, result from, or relate to the legality and/or enforceability of the Agreement, or actions brought by employees of [Client Name] relating to claims arising out of the services rendered by SIG for [Client Name]. SIG shall only be liable for those losses, claims, or damages that arise as a result of performance under the terms, conditions, and period of this Agreement which solely and directly result from the negligence of SIG, and shall in no circumstance exceed the amount of this Agreement in aggregate.

11. Limitation of Liability

SIG and [Client Name] acknowledge and agree that in no event will SIG's liability in connection with the services provided by SIG under this Agreement exceed the amount actually paid to SIG by [Client Name] under this Agreement and SIG will not be liable for any special, incidental, or consequential damages, including without limitation loss of profits, loss of data, and loss of revenues, even if informed of the possibility thereof in advance. These limitations apply to all causes of action in the aggregate, including without limitation breach of contract, SIG's negligence, strict liability, misrepresentation, and other causes of action based on similar legal theories. SIG and [Client Name] further acknowledge and agree that they are entering into this Agreement on the understanding that the fees for the services provided by SIG under this Agreement have been set to reflect the fact that [Client Name]'s remedies, and SIG's liability, shall be limited as expressly set forth in this Agreement, and, if not so limited, the fees for the same services would have been substantially higher.

12. Entire Agreement

This Agreement contains the entire Agreement between the parties hereto and supersedes any and all other Agreements heretofore made.

13. Ownership of Works for Hire

All matters produced under this Agreement shall be works for hire and shall become the sole property of [Client Name]. Said works cannot be used for any other client or purposes without [Client Name]'s expressed written permission. [Client Name] shall have all right, title and interest in said matters, including the right to obtain and maintain the copyright, trademark, and/or patent of said matters in the name of [Client Name].

14. Worker's Compensation Insurance

SIG agrees to procure and maintain in full force and effect worker's compensation insurance covering its partners, employees and agents while said persons are performing services pursuant to this Agreement. In the event that an employee of SIG performing this Agreement files a worker's compensation claim against [Client Name], SIG agrees to defend and hold [Client Name] harmless from such claim.

15. Nondiscrimination in Employment

SIG agrees that it will not engage in unlawful discrimination in employment because of race, color, religious creed, national origin, ancestry, physical handicap, marital status, or sex.

16. Arbitration

All claims, disputes or controversies arising out of or relating to this Agreement or the breach thereof will be resolved by arbitration in accordance with the then-prevailing rules of the American Arbitration Association. There shall be one arbitrator mutually agreed upon by [Client Name] and SIG. If however, agreement cannot be reached, then each party shall select an arbitrator, and those two shall select a third. All compensation for arbitrators and expenses of the arbitrators shall be shared equally by the parties.

For [Client Name]:

For Strata Information Group:

_____ Date

_____ Date
Henry A. Eimstad, President

(Please print name and title)

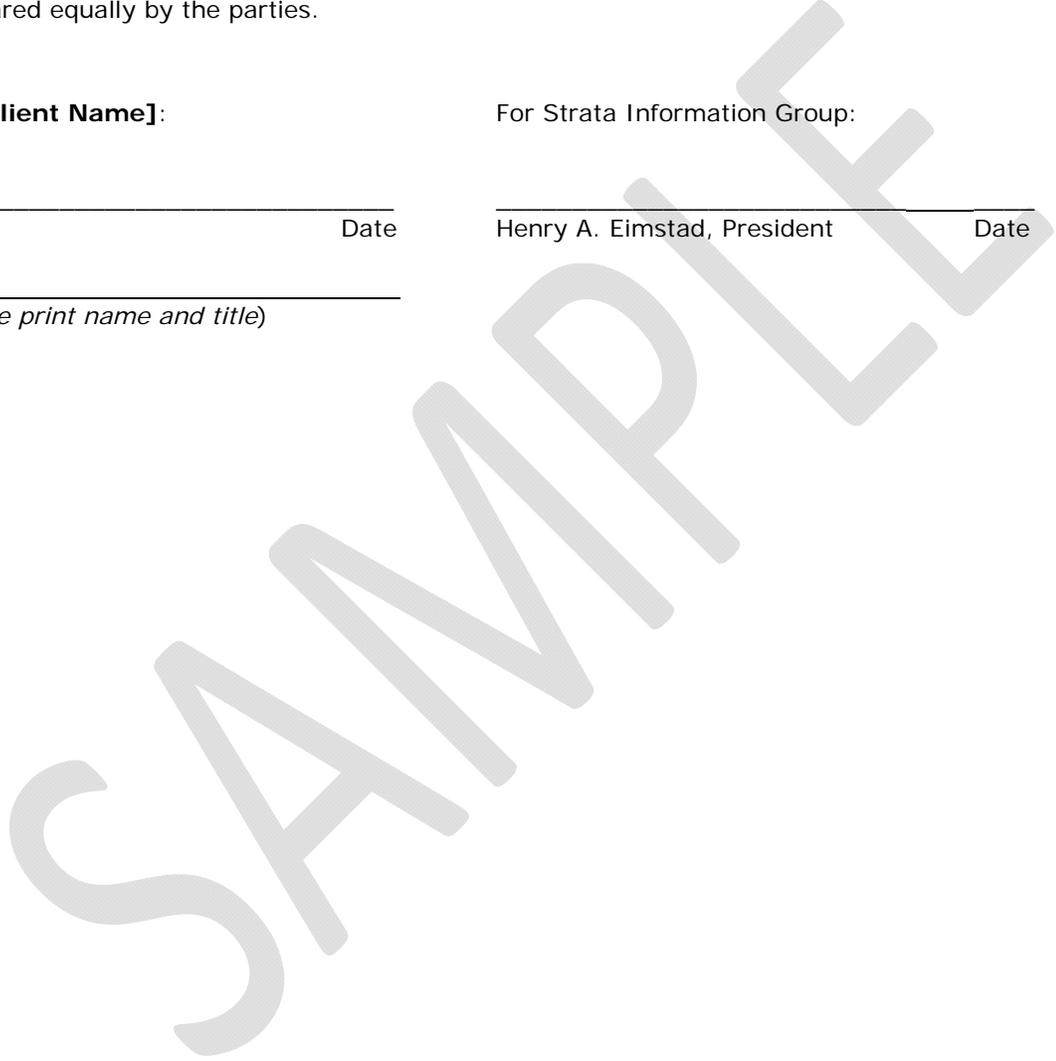


EXHIBIT A
General Statement of Work

Sample College
Strata Information Group
Consulting Services

Under the terms of this Agreement, SIG will provide consulting services for the staff of **[Client Name]**, as directed, to perform the following work:

(Insert statement of work here.)

SAMPLE

Appendix A: SIG's Client Lists

Since 1987, SIG has completed hundreds of assignments at colleges and universities across the United States and internationally. Engagements have ranged from ERP procurements, implementations, assessments, DBA support, and programming, to consulting and training, project management, temporary IT staffing, business process analysis, and IT planning.

Following is a list of Ellucian Banner® institutions that SIG has had the opportunity to serve:

- Abilene Christian University, Texas
- Aims Community College, Colorado
- Alabama Agricultural & Mechanical University, Alabama
- Alamo Community College District, Texas
- Albany State University, Georgia
- Allan Hancock Community College District, California
- Antelope Valley College, California
- Appalachian State University, North Carolina
- Arkansas State University – Jonesboro, Arkansas
- Atlanta Metropolitan College, Georgia
- Auburn University, Alabama
- Austin Peay State University, Tennessee
- Ball State University, Indiana
- Barnes Jewish College at Goldfarb School of Nursing, Missouri
- Barstow Community College District, California
- Brandman University, California
- Bridgewater State University, Massachusetts
- Bristol Community College, Massachusetts
- Brown University, Rhode Island
- Bryant University, Rhode Island
- Butler Community College, Kansas
- California University of Pennsylvania, Pennsylvania
- Cameron University, Oklahoma
- Canada College, California
- Carleton University, Ontario, Canada
- Catawba College, North Carolina
- Central Arizona College, Arizona
- Central New Mexico Community College, New Mexico
- Central Oregon Community College, Oregon
- Central State University, Ohio
- Chabot-Las Positas Community College District, California
- Chattanooga State Community College, Tennessee
- Chicago State University, Illinois
- Chippewa Valley Technical College, Wisconsin
- Christian Brothers University, Tennessee
- Christopher Newport University, Virginia
- Citrus College, California
- City College of San Francisco, California
- City of Pontiac, Michigan
- City University of Hong Kong, Hong Kong
- Clark Atlanta University, Georgia
- Clark University, Massachusetts
- Clemson University, South Carolina
- Cleveland State Community College, Tennessee
- Clovis Community College, New Mexico
- Coast Community College District, California
- Cochise County Community College District, Arizona
- Coconino Community College, Arizona
- College of Marin, California
- College of San Mateo, California
- College of the Sequoias, California
- College of the Siskiyous, California
- Collin College, Texas
- Colorado College, Colorado
- Colorado Community College System, Colorado
- Colorado School of Mines, Colorado
- Columbus State University, Georgia
- Community College of Philadelphia, Pennsylvania
- Concordia College – New York (Bronxville), New York
- Concordia University – Austin, Texas
- Concordia University – Chicago, Illinois
- Concordia University – Irvine, California
- Concordia University – Nebraska, Nebraska
- Concordia University – Portland, Oregon
- Concordia University – St. Paul, Minnesota
- Concordia University – Wisconsin, Wisconsin
- Concordia University Systems Office, Illinois
- Covenant College, Georgia
- Cuesta College, California
- Curry College, Massachusetts
- Davenport University, Michigan
- Delgado Community College, Louisiana
- Denison University, Ohio
- DeVry University - Chicago Campus, Illinois
- Drake University, Iowa
- Drew University, New Jersey
- East Carolina University, North Carolina
- Eastern Florida State College (formerly Brevard Community College), Florida
- Eastern Kentucky University, Kentucky
- Eastern Michigan University, Michigan
- Eastern New Mexico University – Portales, New Mexico
- Eastern New Mexico University – Roswell, New Mexico
- Eastern Washington University, Washington
- Edison State College, Florida
- El Paso Community College, Texas
- Emerson College, Massachusetts
- Feather River College, California
- Ferris State University, Michigan
- Fitchburg State University, Massachusetts
- Florida Gateway College, Florida

- Florida Institute of Technology, Florida
- Florida Keys Community College, Florida
- Foothill-DeAnza Community College District, California
- Fordham University, New York
- Framingham State University, Massachusetts
- Franklin & Marshall College, Pennsylvania
- Friends University, Kansas
- Gavilan College, California
- Georgia Board of Regents, Georgia
- Georgia Gwinnett College, Georgia
- Georgia Institute of Technology, Georgia
- Georgia State University, Georgia
- Gonzaga University, Washington
- Grambling State University, Louisiana
- Grand Valley State University, Michigan
- Greenfield Community College, Massachusetts
- Hamline University, Minnesota
- Harding University, Arkansas
- Harrisburg Area Community College, Pennsylvania
- Hawai'i Pacific University, Hawaii
- Highland Community College, Illinois
- Hope College, Michigan
- Hong Kong Institute of Education, Hong Kong
- Horry Georgetown Technical College, South Carolina
- Houston Baptist University, Texas
- Hudson Valley Community College, New York
- Idaho State University, Idaho
- Illinois Institute of Technology, Illinois
- Imperial Valley College, California
- Indiana State University, Indiana
- Inter-American University Central Office, Puerto Rico
- Ithaca College, New York
- Ivy Tech Community College, Indiana
- Jefferson College, Missouri
- Johnson & Wales University, Rhode Island
- Kennesaw State University, Georgia
- Kent State University, Ohio
- Kern Community College District, California
- Lake-Sumter State College, Florida
- Lamar University, Texas
- Lane Community College, Oregon
- Lansing Community College, Michigan
- Leeds Beckett University, United Kingdom
- Liberty University, Virginia
- Lingnan University, Hong Kong
- Linn-Benton Community College, Oregon
- Lipscomb University, Tennessee
- Loma Linda University, California
- Longwood University, Virginia
- Loyola Marymount University, California
- Macalester College, Minnesota
- Marist College, New York
- Marshall University, West Virginia
- Massasoit Community College, Massachusetts
- MidAmerica Nazarene University, Kansas
- Middle Georgia College, Georgia
- Middlebury College, Vermont
- Midwestern State University, Texas
- Millersville University, Pennsylvania
- Mills College, California
- Mississippi Valley State University, Mississippi
- Mohawk Valley Community College, New York
- Montclair State University, New Jersey
- Montgomery College, Maryland
- Moorpark College, California
- Morehouse College, Georgia
- Morehouse School of Medicine, Georgia
- Morgan State University, Maryland
- Motlow State Community College, Tennessee
- Mount Wachusett Community College, Massachusetts
- Mt. San Antonio Auxiliary, California
- Mt. San Antonio College, California
- Nassau Community College, New York
- New England College, New Hampshire
- New England Institute of Technology, Rhode Island
- New Jersey Institute of Technology, New Jersey
- New Mexico Highlands University, New Mexico
- New Mexico Institute of Mining and Technology, New Mexico
- New Mexico Junior College, New Mexico
- New Mexico State University, New Mexico
- New Mexico Technet, New Mexico
- North Orange County Community College District, California
- Northeastern Ohio Universities Colleges of Medicine and Pharmacy, Ohio
- Northern Michigan University, Michigan
- Northern New Mexico College, New Mexico
- Northwest Florida State College, Florida
- Norwich University, Vermont
- Oakland University, Michigan
- Oakton Community College, Illinois
- Oberlin College, Ohio
- Occidental College, California
- Oklahoma Baptist University, Oklahoma
- Oral Roberts University, Oklahoma
- Orange County Fire Authority, California
- Oregon Health & Science University, Oregon
- Oregon Institute of Technology, Oregon
- Oregon State University, Oregon
- Oregon University System, Oregon
- Otis College of Art & Design, California
- Oxnard College, California
- Pacific Lutheran University, Washington
- Philadelphia College of Osteopathic Medicine (PCOM), Pennsylvania
- Piedmont Technical College, South Carolina
- Pima County Community College District, Arizona
- Portland Community College, Oregon
- Portland State University, Oregon
- Presbyterian College, South Carolina
- Providence College, Rhode Island

- Reed College, Oregon
- Rio Hondo College, California
- Roane State Community College, Tennessee
- Rockhurst University, Missouri
- Roosevelt University, Illinois
- Rose-Hulman Institute of Technology, Indiana
- Royal Holloway, University of London, England
- Saint Louis University, Missouri
- Saint Mary's College, Indiana
- Saint Norbert College, Wisconsin
- Salk Institute, California
- Sam Houston State University, Texas
- San Diego State University, California
- San Mateo County Community College District, California
- Santa Barbara City College, California
- Santa Fe Community College, New Mexico
- Sauk Valley Community College, Illinois
- Savannah State University, Georgia
- Seattle Pacific University, Washington
- Seton Hall University, New Jersey
- Sierra College, California
- Sierra Nevada College, Nevada
- Skyline College, California
- Solano Community College, California
- South Texas College, Texas
- South Texas College of Law, Texas
- Southern Illinois University – Carbondale, Illinois
- Southern University and A&M College System, Louisiana
- Southern University at Shreveport, Louisiana
- Southwest Tennessee Community College, Tennessee
- Southwestern Michigan College, Michigan
- Spelman College, Georgia
- St. Edward's University, Texas
- St. John Fisher College, New York
- St. Johns River State College, Florida
- St. Mary's University, Texas
- Stark State College, Ohio
- State College of Florida, Manatee-Sarasota, Florida
- Stephen F Austin State University, Texas
- Stetson University, Florida
- SUNY Adirondack Community College, New York
- SUNY Suffolk County Community College, New York
- Taft College, California
- Tarleton State University, Texas
- Teachers College, Columbia University, New York
- Temple University, Pennsylvania
- Tennessee State University, Tennessee
- Tennessee Technological University, Tennessee
- Texas A & M University – Commerce, Texas
- Texas A&M University – Texarkana, Texas
- Texas A&M University– Corpus Christi, Texas
- Texas A&M University – Kingsville, Texas
- Texas Department of Information Resources, Texas
- Texas State University, Texas
- The College of St. Scholastica, Minnesota
- The Graduate Center– CUNY, New York
- The Institute for College Access & Success, California
- The J David Gladstone Institutes, California
- The University of the South (Sewanee), Tennessee
- Tri-County Technical College, South Carolina
- Tyler Junior College, Texas
- Umpqua Community College, Oregon
- University of Alaska – Fairbanks, Alaska
- University of Arkansas Division of Agriculture - Cooperative Extension, Arkansas
- University of California-Santa Cruz, California
- University of Dallas, Texas
- University of Dayton, Ohio
- University of Hawaii at Hilo, Hawaii
- University of Houston-Downtown, Texas
- University of Idaho, Idaho
- University of Illinois at Urbana-Champaign, Illinois
- University of La Verne, California
- University of Mary Washington, Virginia
- University of Memphis, Tennessee
- University of Michigan – Flint, Michigan
- University of New Mexico, New Mexico
- University of North Carolina – Wilmington, North Carolina
- University of North Carolina @ Greensboro, North Carolina
- University of North Carolina at Charlotte, North Carolina
- University of North Carolina System, North Carolina
- University of Northern Colorado, Colorado
- University of Oklahoma Norman Campus, Oklahoma
- University of Oregon, Oregon
- University of Portland, Oregon
- University of Puget Sound, Washington
- University of Richmond, Virginia
- University of San Francisco, California
- University of the Incarnate Word, Texas
- University of the Pacific, California
- University of the Pacific, McGeorge School of Law, California
- University of the South, Sewanee, Tennessee
- University of West Florida, Florida
- Utah Valley University, Utah
- Valencia College, Florida
- Vassar College, New York
- Ventura College, California
- Ventura County Community College District, California
- Vermont Law School, Vermont
- Victoria College, Texas
- Vincennes University, Indiana
- Virginia Commonwealth University, Virginia

- Wake Forest University, North Carolina
- Walsh University, Ohio
- Walters State Community College, Tennessee
- Washburn University, Kansas
- Waubonsee Community College, Illinois
- West Virginia University, West Virginia
- Western New Mexico University, New Mexico
- Western Oregon University, Oregon
- Western University of Health Sciences, California
- Western Washington University, Washington
- Wharton County Junior College, Texas
- Whittier Law School, California
- Wichita State University, Kansas
- Wichita Area Technical College, Kansas
- Wilberforce University, Ohio
- William Paterson University, New Jersey
- William Rainey Harper College (Harper College), Illinois
- Wofford College, South Carolina
- Worcester Polytechnic Institute, Massachusetts
- Wright State University, Ohio
- Yale University, Connecticut
- Yavapai College, Arizona
- Yeshiva University, New York
- York College of Pennsylvania, Pennsylvania

The following is a partial list of institutions for which SIG has had the opportunity to perform a Banner® assessment.

- Aims Community College, Colorado
- Butler Community College, Kansas
- Christian Brothers University, Tennessee
- Cochise College, Arizona
- College of Marin, California
- Coast Community College District, California
- Davenport University, Michigan
- Eastern New Mexico University-Roswell, New Mexico
- Florida Gateway College, Florida
- Framingham State University, Massachusetts
- Friends University, Kansas
- Harrisburg Area Community College, Pennsylvania
- Indiana State University, Indiana
- Ivy Tech Community College, Indiana
- Linn-Benton Community College, Oregon
- Jefferson College, Missouri
- Lake-Sumter State College, Florida
- Loyola Marymount University, California
- Mississippi Valley State University, Mississippi
- Nassau Community College, New York
- Oakland University, Michigan
- Oregon Health & Science University, Oregon
- Oregon State University, Oregon
- Portland State University, Oregon
- Rio Hondo College, California
- San Mateo County Community College District, California
- Seton Hall University, New Jersey
- Sewanee-The University of the South, Tennessee
- South Texas College, Texas
- Southern University and A&M College, Louisiana
- Southwest Tennessee Community College, Tennessee
- Southwestern Michigan College, Michigan
- St. Mary's University, Texas
- State College of Florida, Manatee-Sarasota, Florida
- Tarleton State University, Texas
- Tennessee Board of Regents, Tennessee
- Texas A&M University-Kingsville, Texas
- Triton College, Illinois
- University of Dallas, Texas
- University of Memphis, Tennessee
- University of North Carolina-Wilmington, North Carolina
- University of North Carolina at Charlotte, North Carolina
- University of the Incarnate Word, Texas
- University of the Pacific, California
- Ventura County Community College District, California
- Victoria College, Texas
- Virginia Commonwealth University, Virginia
- Walsh University, Ohio

Since 1987, SIG has completed hundreds of assignments at colleges and universities across the United States and internationally. Engagements have ranged from ERP procurements, implementations, assessments, DBA support, and programming to consulting and training, project management, temporary IT staffing, business process analysis, and IT planning. The following list does not include individual colleges within a client college district.

- Abilene Christian University, Texas
- Aims Community College, Colorado
- Alabama Agricultural & Mechanical University, Alabama
- Alamo Community College District, Texas
- Albany State University, Georgia
- Allan Hancock Community College District, California
- Alliant International University, California
- Antelope Valley College, California
- Appalachian State University, North Carolina
- Arkansas State University – Jonesboro, Arkansas
- Atlanta Metropolitan College, Georgia
- Auburn University, Alabama
- Austin Peay State University, Tennessee
- Ball State University, Indiana
- Barnes Jewish College at Goldfarb School of Nursing, Missouri
- Barstow Community College District, California
- Brandman University, California
- Bridgewater State University, Massachusetts
- Bristol Community College, Massachusetts
- Brown University, Rhode Island
- Brunswick Community College, North Carolina
- Bryant University, Rhode Island
- Butler Community College, Kansas
- Cabrillo College, California
- California Community College Software Consortium, California
- California Institute of the Arts, California
- California School of Professional Psychology, California
- California State University, Dominguez Hills, California
- California University of Pennsylvania, Pennsylvania
- Cameron University, Oklahoma
- Canada College, California
- Carleton University, Ontario, Canada
- Catawba College, North Carolina
- Central Arizona College, Arizona
- Central New Mexico Community College, New Mexico
- Central Oregon Community College, Oregon
- Central State University, Ohio
- Cerritos College, California
- Chabot-Las Positas Community College District, California
- Chaffey College, California
- Chapman University, California
- Chattanooga State Community College, Tennessee
- Chicago State University, Illinois
- Children's Hospital, Los Angeles, California
- Chippewa Valley Technical College, Wisconsin
- Christian Brothers University, Tennessee
- Christopher Newport University, Virginia
- Citrus College, California
- City College of San Francisco, California
- City of Pontiac, Michigan
- City University of Hong Kong, Hong Kong
- Clackamas Community College, Oregon
- Clark Atlanta University, Georgia
- Clark University, Massachusetts
- Clatsop Community College, Oregon
- Clemson University, South Carolina
- Cleveland State Community College, Tennessee
- Clovis Community College, New Mexico
- Coast Community College District, California
- Cochise County Community College District, Arizona
- Coconino Community College, Arizona
- Colgate University, New York
- College of Marin, California
- College of San Mateo, California
- College of Southern Nevada, Nevada
- College of the Desert, California
- College of the Redwoods Community College District, California
- College of the Sequoias, California
- College of the Siskiyous, California
- College of Western Idaho, Idaho
- Collin College, Texas
- Colorado College, Colorado
- Colorado Community College System, Colorado
- Colorado School of Mines, Colorado
- Columbia College Chicago, Illinois
- Columbus State University, Georgia
- Community College of Philadelphia, Pennsylvania
- Concordia College - New York (Bronxville), New York
- Concordia University - Austin (aka Texas), Texas
- Concordia University – Chicago, Illinois
- Concordia University – Irvine, California
- Concordia University – Nebraska, Nebraska
- Concordia University – Portland, Oregon
- Concordia University - St. Paul, Minnesota
- Concordia University – Wisconsin, Wisconsin
- Concordia University Systems Office, Illinois
- Contra Costa Community College District, California
- Copper Mountain Community College, California
- Covenant College, Georgia
- Cuesta College, California
- Curry College, Massachusetts
- Cuyamaca College, California

- Davenport University, Michigan
- Delgado Community College, Louisiana
- Denison University, Ohio
- DeVry University - Chicago Campus, Illinois
- Drew University, New Jersey
- East Carolina University, North Carolina
- Eastern Florida State College (formerly Brevard Community College), Florida
- Eastern Kentucky University, Kentucky
- Eastern Michigan University, Michigan
- Eastern New Mexico University–Portales, New Mexico
- Eastern New Mexico University–Roswell, New Mexico
- Eastern New Mexico University–Ruidoso, New Mexico
- Eastern Washington University, Washington
- Edison State College, Florida
- El Paso Community College, Texas
- Emerson College, Massachusetts
- Feather River College, California
- Ferris State University, Michigan
- Fiscal Crisis & Management Assistance Team (FCMAT), California
- Fitchburg State University, Massachusetts
- Florida Gateway College, Florida
- Florida Institute of Technology, Florida
- Florida Keys Community College, Florida
- Foothill-DeAnza Community College District, California
- Fordham University, New York
- Framingham State University, Massachusetts
- Franklin & Marshall College, Pennsylvania
- Friends University, Kansas
- Gavilan College, California
- Georgia Board of Regents, Georgia
- Georgia Gwinnett College, Georgia
- Georgia Institute of Technology, Georgia
- Georgia State University, Georgia
- Gonzaga University, Washington
- Goucher College, Maryland
- Grambling State University, Louisiana
- Grand Valley State University, Michigan
- Greenfield Community College, Massachusetts
- Grossmont College, California
- Grossmont-Cuyamaca Community College District, California
- Hamline University, Minnesota
- Harding University, Arkansas
- Harrisburg Area Community College, Pennsylvania
- Harvard Business School, Massachusetts
- Harvard Law School, Massachusetts
- Hawai'i Pacific University, Hawaii
- Highland Community College, Illinois
- Hillsborough Community College, Florida
- Hong Kong Institute of Education, Hong Kong
- Horry Georgetown Technical College, South Carolina
- Houston Baptist University, Texas
- Hudson Valley Community College, New York
- Idaho State University, Idaho
- Illinois Institute of Technology, Illinois
- Imperial Valley College, California
- Indiana State University, Indiana
- Inter-American University Central Office, Puerto Rico
- Irvine Valley College, California
- Isothermal Community College, North Carolina
- Ithaca College, New York
- Ivy Tech Community College, Indiana
- Jefferson College, Missouri
- Johnson & Wales University, Rhode Island
- Joliet Junior College, Illinois
- Kennesaw State University, Georgia
- Kent State University, Ohio
- Kern Community College District, California
- Lake Tahoe Community College District, California
- Lake-Sumter State College, Florida
- Lamar University, Texas
- Lane Community College, Oregon
- Lansing Community College, Michigan
- Laureate International Universities, Maryland
- Leeds Beckett University, United Kingdom
- Liberty University, Virginia
- Lincoln Land Community College, Illinois
- Lingnan University, Hong Kong
- Linn-Benton Community College, Oregon
- Lipscomb University, Tennessee
- Loma Linda University, California
- Lone Star College System, Texas
- Longwood University, Virginia
- Los Angeles Community College District, California
- Loyola Marymount University, California
- Macalester College, Minnesota
- Manhattanville College, New York
- Marist College, New York
- Marshall University, West Virginia
- Massasoit Community College, Massachusetts
- McHenry County College, Illinois
- Mendocino College, California
- Merced Community College District, California
- Metropolitan Mortgage, Washington
- MidAmerica Nazarene University, Kansas
- Middle Georgia College, Georgia
- Middlebury College, Vermont
- Midwestern State University, Texas
- Millersville University, Pennsylvania
- Mills College, California
- MiraCosta College, California
- Mississippi Valley State University, Mississippi
- Modesto Junior College, California
- Mohawk Valley Community College, New York

- Montclair State University, New Jersey
- Monterey Peninsula College, California
- Moorpark College, California
- Morehouse College, Georgia
- Morehouse School of Medicine, Georgia
- Morgan State University, Maryland
- Morton College, Illinois
- Motlow State Community College, Tennessee
- Mount Wachusett Community College, Massachusetts
- Mt. San Antonio Auxiliary, California
- Mt. San Antonio College, California
- Mt. San Jacinto College, California
- Napa Valley College, California
- Nassau Community College, New York
- New England College, New Hampshire
- New England Institute of Technology, Rhode Island
- New Jersey Institute of Technology, New Jersey
- New Mexico Institute of Mining and Technology, New Mexico
- New Mexico Junior College, New Mexico
- New Mexico State University, New Mexico
- New Mexico Technet, New Mexico
- New York Institute of Technology, New York
- North Orange County Community College District, California
- Northeastern Ohio Universities Colleges of Medicine and Pharmacy, Ohio
- Northeastern State University, Oklahoma
- Northern Michigan University, Michigan
- Northern New Mexico College, New Mexico
- Northland College, Wisconsin
- Northwest Florida State College, Florida
- Norwich University, Vermont
- Oakland University, Michigan
- Oakton Community College, Illinois
- Oberlin College, Ohio
- Occidental College, California
- Ohlone College, California
- Oklahoma Baptist University, Oklahoma
- Oral Roberts University, Oklahoma
- Orange County Fire Authority, California
- Oregon Health & Science University, Oregon
- Oregon Institute of Technology, Oregon
- Oregon State University, Oregon
- Oregon University System, Oregon
- Otis College of Art & Design, California
- Oxnard College, California
- Oxnard Union High School District, California
- Pacific Lutheran University, Washington
- Palo Verde College, California
- Palomar College, California
- Park University, Missouri
- Pasadena City College, California
- Peak Performance Technologies, Georgia
- Pennsylvania State System of Higher Education, Office of Chancellor, Pennsylvania
- Philadelphia College of Osteopathic Medicine (PCOM), Pennsylvania
- Piedmont Technical College, South Carolina
- Pima County Community College District, Arizona
- Portland Community College, Oregon
- Portland State University, Oregon
- Presbyterian College, South Carolina
- Providence College, Rhode Island
- Reed College, Oregon
- Rhode Island School of Design (RISD), Rhode Island
- Rio Hondo College, California
- Riverside Community College District, California
- Riverside Unified School District, California
- Roane State Community College, Tennessee
- Rockhurst University, Missouri
- Roosevelt University, Illinois
- Rose-Hulman Institute of Technology, Indiana
- Royal Holloway, University of London, England
- Saint Louis University, Missouri
- Saint Mary's College, Indiana
- Saint Norbert College, Wisconsin
- Salk Institute, California
- Sam Houston State University, Texas
- San Bernardino Community College District, California
- San Diego Community College District, California
- San Diego State University, California
- San Jose Evergreen Community College District, California
- San Mateo County Community College District, California
- Santa Barbara City College, California
- Santa Fe Community College, New Mexico
- Santa Rosa Junior College, California
- Sauk Valley Community College, Illinois
- Savannah State University, Georgia
- Seattle Pacific University, Washington
- Seton Hall University, New Jersey
- Sierra College, California
- Sierra Nevada College, Nevada
- Sinclair Community College, Ohio
- Skyline College, California
- Solano Community College, California
- South Orange County Community College District, California
- South Texas College, Texas
- South Texas College of Law, Texas
- Southern Illinois University – Carbondale, Illinois
- Southern University and A&M College System, Louisiana
- Southern University at Shreveport, Louisiana
- Southwest Tennessee Community College, Tennessee
- Southwestern College, California
- Southwestern Michigan College, Michigan
- Spelman College, Georgia
- St. Edward's University, Texas

- St. John Fisher College, New York
- St. Johns River State College, Florida
- St. Mary's University, Texas
- Stark State College, Ohio
- State Center Community College District, California
- State College of Florida, Manatee-Sarasota, Florida
- Stephen F Austin State University, Texas
- Stetson University, Florida
- SUNY Adirondack Community College, New York
- SUNY Erie Community College, New York
- SUNY Suffolk County Community College, New York
- Surry Community College, North Carolina
- Taft College, California
- Tarleton State University, Texas
- Teachers College, Columbia University, New York
- Technical College of the Lowcountry, South Carolina
- Temple University, Pennsylvania
- Tennessee Board of Regents, Tennessee
- Tennessee State University, Tennessee
- Tennessee Technological University, Tennessee
- Texas A&M University – Commerce, Texas
- Texas A&M University – Texarkana, Texas
- Texas A&M University – Corpus Christi, Texas
- Texas A&M University – Kingsville, Texas
- Texas Department of Information Resources, Texas
- Texas State University, Texas
- The College of St. Scholastica, Minnesota
- The Graduate Center – CUNY, New York
- The Institute for College Access & Success, California
- The J David Gladstone Institutes, California
- The University of the South (Sewanee), Tennessee
- Tri-County Technical College, South Carolina
- Triton College, Illinois
- Tyler Junior College, Texas
- Umpqua Community College, Oregon
- University of Alaska – Fairbanks, Alaska
- University of Arkansas Division of Agriculture - Cooperative Extension, Arkansas
- University of California, Santa Cruz, California
- University of Dallas, Texas
- University of Dayton, Ohio
- University of Hawaii at Hilo, Hawaii
- University of Houston-Downtown, Texas
- University of Idaho, Idaho
- University of Illinois at Urbana-Champaign, Illinois
- University of La Verne, California
- University of Mary Washington, Virginia
- University of Maryland at Baltimore, Maryland
- University of Memphis, Tennessee
- University of Michigan – Flint, Michigan
- University of New Mexico, New Mexico
- University of North Carolina – Wilmington, North Carolina
- University of North Carolina @ Greensboro, North Carolina
- University of North Carolina at Charlotte, North Carolina
- University of North Carolina System, North Carolina
- University of Northern Colorado, Colorado
- University of Oklahoma Norman Campus, Oklahoma
- University of Oregon, Oregon
- University of Portland, Oregon
- University of Puget Sound, Washington
- University of Richmond, Virginia
- University of San Francisco, California
- University of Southern Nevada (see Roseman University of Health Sciences), Nevada
- University of the Incarnate Word, Texas
- University of the Pacific, California
- University of the Pacific, McGeorge School of Law, California
- University of West Florida, Florida
- Utah Valley University, Utah
- Valencia College, Florida
- Vassar College, New York
- Ventura College, California
- Ventura County Community College District, California
- Vermont Law School, Vermont
- Victor Valley College, California
- Victoria College, Texas
- Vincennes University, Indiana
- Virginia Commonwealth University, Virginia
- Wake Forest University, North Carolina
- Walsh University, Ohio
- Walters State Community College, Tennessee
- Warren Wilson College, North Carolina
- Washburn University, Kansas
- Waubensee Community College, Illinois
- West Hills Community College District, California
- West Valley-Mission Community College District, California
- West Virginia University, West Virginia
- Western New Mexico University, New Mexico
- Western Oregon University, Oregon
- Western University of Health Sciences, California
- Western Washington University, Washington
- Wharton County Junior College, Texas
- Whittier Law School, California
- Wichita Area Technical College, Kansas
- Wilberforce University, Ohio
- William Paterson University, New Jersey
- William Rainey Harper College (Harper College), Illinois
- Wofford College, South Carolina
- Worcester Polytechnic Institute, Massachusetts

- Wright State University, Ohio
- Yale University, Connecticut
- Yavapai College, Arizona
- Yeshiva University, New York
- York College of Pennsylvania, Pennsylvania
- York Technical College, South Carolina
- Yuba Community College District, California

Appendix B: Consultant Profiles

Mike Cummiskey, Senior Consultant

Summary

- Banner® Financial Aid Specialist
- 26 years' experience in higher education
- 24 years' experience with Ellucian Banner® Financial Aid
- Highly skilled in the implementation of financial aid systems
- Experienced project manager, consultant, and implementation specialist

Selected Client Experience with Strata Information Group

Served as a senior consultant for the implementation of Banner® Financial Aid at numerous client sites, including:

- *Aims Community College (CO)*. Provided high-level financial aid consulting to Financial Aid users for improving current business practices. Assisted with the training of new staff including the Financial Aid Director during a critical time of staff turnover.
- *Alamo Community College District (TX)*. Provided high-level financial aid consulting at a five-college multicampus district.
- *Central New Mexico Community College (NM)*. Provided functional consulting to Banner® Financial Aid users for improving current business practices.
- *City College of San Francisco (CA)*. Provided functional consulting and implementation assistance with Direct Lending in Financial Aid.
- *Coast Community College District (CA)*. Helped lead a high-level financial aid business process analysis workshop to map current PowerFAIDS® system process and discussed writing an interface to Banner® Accounts Receivable and Sallie Mae.
- *College of the Siskiyous (CA)*. Provided functional consulting to Banner® Financial Aid users for improving current business practices. Helped set up the second year of financial aid. Also assisted in the setup and training of Direct Lending.
- *Cuesta College (CA)*. Provided functional consulting during the implementation of Banner® Financial Aid.
- *Drew University (NJ)*. Provided high level financial aid consulting and project management during the implementation of Banner® Financial Aid.
- *Feather River College (CA)*. Provided functional consulting to Banner® Financial Aid users for improving current business practices.
- *Foothill-DeAnza Community College District (CA)*. Provided consulting for the high-level Financial Aid Security Assessment of the current business practices.
- *Framingham State University (MA)*. Provided strategic financial aid consulting on strategies to interface their current PowerFAIDS® system with Banner® Financial Aid Self-Service.
- *Mt. San Antonio College (CA)*. Provided functional consulting during the implementation of Banner® Financial Aid. Led discovery sessions at the beginning of implementation.
- *New Mexico Institute of Mining and Technology (NM)*. Provided remote functional financial aid consulting during the upgrade to Banner® 8 helping the institution improve current financial aid business practices where appropriate.
- *New Mexico Junior College (NM)*. Provided remote functional financial aid consulting during the upgrade to Banner® 8 helping the college improve current financial aid business practices where appropriate.
- *Northern New Mexico College (NM)*. Provided remote functional financial aid consulting during the upgrade to Banner® 8 assisting in the improvement of current financial aid business practices where appropriate.

- *Pacific Lutheran University (WA)*. Provided high-level financial aid functional consulting during the business process analysis workshop of current Banner® Financial Aid practices.
- *Santa Barbara Community College (CA)*. Provided training on population selection and letter generation for Banner® functional and technical users in various departments.
- *Sierra College (CA)*. Provided functional consulting and project management during the implementation of Banner® Financial Aid. Also provided functional specifications for several conversion projects from the legacy PowerFAIDS® system to Banner® Financial Aid. Provided functional consulting and training during conversion from Federal Family Education Loan Program Loans to Federal Direct Loans. Provided support during the New Year roll and setup of three consecutive aid years. Assisted with their first end of year Financial Institution Shared Assessment Program and Management Information System reports. Provided training and setup assistance for Year Round Pell.
- *Solano Community College (CA)*. Provided complete functional consulting and training during the implementation of Banner® Financial Aid. Reviewed the current business practices after the retirement of their Financial Aid Director and provided direct support to the office staff during the transition.
- *St. John Fisher College (NY)*. Provided high-level financial aid functional consulting during the business process analysis workshop of current Banner® Financial Aid practices.
- *Taft College (CA)*. Provided a high-level financial aid assessment of current Banner® business processes and helped the staff during the transition after the retirement of the Financial Aid Director. Provided ongoing financial aid consulting and training to staff members. Helped implement the BOG module in California Banner® for processing exemptions and fee waivers.
- *Tennessee Board of Regents (TBR)*. Provided high-level consulting to review various functional and technical modifications to Banner® Financial Aid and Student for continued use at the various state schools during their implementations of Banner® 8.
- *Texas State University-San Marcos (TX)*. Conducted a high-level financial aid business process analysis workshop to map the current legacy financial aid processes and help them better understand Banner® Financial Aid.
- *Umpqua Community College (OR)*. Provided functional financial aid consulting during the upgrade to Banner® 8. Assisted staff to improve current financial aid business practices where appropriate.
- *Ventura County Community College District (CA)*. Provided high-level financial aid consulting and project management during discovery sessions on whether to convert the PowerFAIDS® system to Banner® Financial Aid. Provided functional consulting and project management during the implementation of Banner® Financial Aid at their three college multi-campus district. Provided functional specifications for several conversion projects from their legacy PowerFAIDS® system to Banner® Financial Aid.
- *William Rainey Harper College (IL)*. Assisted with the training of new staff including the Financial Aid Director during a critical time of staff turnover.

Expertise

- Business Process Analysis
- Financial Aid
- Mapping, Conversion, and Migration of legacy data
- Project Management
- Web-based self-service applications

Other Relevant Experience

- *SunGard Higher Education, Incorporated.*
 - Account Consultant and Senior Advisory Financial Aid Consultant. Provided financial aid consulting, resolved client issues, and developed training programs.
 - Regional Manager. Ensured that all engagements were completed on time and within budget.
 - System Consultant. Provided project management, training, problem resolution, analysis of business processes, and post-production assessments
- *Sierra Nevada College (NV).* Project Manager for Strategic Programs. Implemented Banner® Finance, Student, Financial Aid, and Self-Service. Established practices and reporting structures to ensure that all implementations were completed on time and within budget.
- *University of California (CA).* Computer Resource Specialist II. Assisted with the implementation and maintenance of Banner® Financial Aid.

Education and Credentials

- BA, Psychology, University of California at Davis, CA
- AA, Psychology, Victor Valley Junior College, CA
- Certificate Program, Computer Studies, University of California at Davis, CA

Mary Krallman, Senior Consultant

Summary

- Banner® Financial Aid Specialist
- 25 years' experience in higher education
- 20 years' experience with Ellucian Banner® Financial Aid
- 25 years' experience in college and university financial aid operations
- Highly skilled in the implementation of financial aid systems
- Experienced consultant and implementation specialist

Selected Client Experience with Strata Information Group

Served as a senior consultant for the implementation of Banner® at numerous client sites, including:

- *Aims Community College (CO)*. Provided functional consulting to users of Banner® Financial Aid to improve current business practices, and assisted with Satisfactory Academic Progress.
- *Barnes Jewish College of Nursing (MO)*. Provided functional consulting to users of Banner® Financial Aid.
- *Christian Brothers University (TN)*. Resolved financial aid system problems at client site and trained financial aid staff. Completed Banner® 8 testing and worked with technical staff on related issues.
- *Eastern New Mexico University (NM)*. Provided functional consulting to users of Banner® Financial Aid to improve current business practices.
- *Florida Keys Community College (FL)*. Provided functional consulting to users of Banner® Financial Aid to improve current business practices.
- *Morehouse College (GA)*. Provided functional consulting to users of Banner® Financial Aid to improve current business practices.
- *Nassau Community College (NY)*. Worked with staff on Banner® 8 testing and trained on new functionality.
- *North Orange County Community College District (CA)*. Resolved financial aid system problems at client site and trained financial aid staff.
- *Piedmont Technical College (SC)*. Provided functional consulting to users of Banner® Financial Aid to improve current business practices.
- *Southwest Tennessee Community College (TN)*. Provided functional consulting to users of Banner® Financial Aid to improve current business practices.
- *State College of Florida, Manatee-Sarasota (FL)*. Resolved financial aid system problems at client site and trained financial aid staff.
- *Tennessee Board of Regents (TN)*. Provided functional consulting to users of Banner® Financial Aid for 13 community colleges in the Tennessee Board of Regents system.
- *Umpqua Community College (OR)*. Provided Banner® 8 testing and trained staff on new functionality as well as helped with Satisfactory Academic Progress.
- *University of the Incarnate Word (TX)*. Provided functional consulting for Banner® Document Management System.
- *University of North Carolina Wilmington (NC)*. Provided functional consulting to users of Banner® Financial Aid to improve current business practices.
- *Yavapai College (AZ)*. Provided functional consulting to users of Banner® Financial Aid.

Expertise

- Banner® Financial Aid
- Banner® XtenderSolutions
- Business Process Analysis

Other Relevant Experience

- *Financial Aid Services (GA)*. Associate Financial Aid Consultant. Specialized in Banner® Financial Aid training and consulting at higher education institutions. Reviewed and monitored compliance with federal regulations. Created processing flow, educational materials, and reports. Automated Satisfactory Academic Progress (SAP) in Banner® and created SAP procedures for staff. Automated State Grants by utilizing fund awarding rules. Tested Banner® releases and resolved issues.
- *Emory University (GA)*. Business Analyst. Served in functional support role, providing assistance for the PeopleSoft® Student Administration Financial Aid system, analyzing current business processes, and offering recommendations for improvement. Prepared the system for federal regulatory releases and provided assistance with federal regulations to other business analysts, and technical and financial aid staff. Resolved issues for financial aid staff due to data errors within PeopleSoft®.
- *SunGard Higher Education, Incorporated*. Senior Financial Aid Consultant. Managed federal, state, and institutional funds. Implemented Quality Assurance programs. Reviewed institutional policies and procedures and consulted for Banner® Financial Aid. Conducted training and resolved system problems at client sites.
 - *Macon State College (GA)*. Director of Financial Aid. Supervised seven full-time staff and served as the primary liaison for Enrollment Services, Business, Registrar, Information Technology, faculty, and other ancillary staff. Implemented and maintained Banner® Financial Aid. Served as power user for day-to-day operations and trained financial aid staff.
 - *Georgia Institute of Technology (GA)*. Financial Aid Counselor. Managed processing of 4,000 aid applications for entering freshmen class, plus 2,000 of the continuing class. Managed and monitored the Federal Work Study program and provided professional judgment and appeals for the freshmen class and continuing students.
- *Illinois Institute of Technology (IL)*. Assistant Director of Admissions and Financial Aid. Managed processing of the entering freshmen financial aid applications and determined admissions decisions for a regional area, as well as various engineering, architecture, and design departments.

Education and Credentials

- BS, Business Administration, University of Florida, FL

Connie O'Shea – Senior Consultant

Summary

- Banner® Financial Aid Specialist
- 34 years' experience in higher education
- 15 years' experience with Ellucian Banner® Financial Aid
- 23 years' experience in college and university financial aid operations
- Highly skilled in the implementation of financial aid systems

Selected Client Experience with Strata Information Group.

Served as a SIG senior consultant specializing in Banner® Financial Aid at the following client sites:

- *Tarleton State University (TX)*. Conducted a full reimplementation of every module within Financial Aid, which involved examination of all table configurations and Banner® business processes. Advised on rework of Banner® Financial Aid security, common matching, and data standards. Trained and implemented period-based algorithmic budgeting.
- *Temple University (PA)*. Provided post-go-live support for the new year roll and setup, with particular emphasis on period based algorithmic budgeting review, packaging groups, RORRULEs, parts-of-term issues, and new loan process discussion.
- *Victoria College (TX)*. Conducted post-go-live review of Direct loan program, to include confirmation of correct configuration of validation and rule table, correct processing order and steps, and correct procedures for reconciliation. Also conducted review of new borrower-based and revamped Direct loan setup and processing.
- *Butler Community College (PA)*. Conducted post-go-live training on the Banner® Financial Aid Return of Title IV funds module, to include review of validation and rule forms, demonstration of processes, testing various student scenarios, discussion of responsibilities for various processes and their timing, and configuration of the production environment.
- *Tennessee Board of Regents (TN)*. Provided Business Process Review services as a subject-matter expert along with a Business Process Review consultant. Assisted with recording functional requirements for financial aid and admissions/student records to be incorporated into the client deliverable compiled by the Business Process Review consultant and to prepare the client for their upcoming Banner® implementation.

Selected Relevant Experience from Previous Employment.

Ellucian (VA). Principal Functional Consultant for Banner® Financial Aid. Served as a principal consultant with Ellucian for the implementation of Banner® at numerous client sites, including:

- *Central New Mexico Community College (NM)*. Assisted with Business Process Analysis and later conducted a Banner® revitalization with emphasis on revamping Satisfactory Academic Progress and Pell grant processing, student employment, Return of Title IV processing, and implementing period-based algorithmic budgeting.
- *Creighton University (NE)*. Provided a full new Banner® implementation, covering all modules of financial aid processing: record creation, requirements tracking, verification, budgeting, packaging, disbursement, student employment, loan processing, FISAP processing, transfer monitoring, Return of Title IV funds, Electronic Data Exchange, population selections, letter generation, and self-service. Provided guidance on best practices, oversaw extensive testing, and developed procedures to support the Banner® implementation business processes. Conducted several post-go-live support sessions. A number of medical sciences programs were included in the implementation.
- *Dawson Community College and Miles Community College (MT)*. Provided a full implementation on a "fast track" basis. Client began training in March and went live in August. Configured entire databases for both schools for all financial aid modules based on agreed-upon values and

processes, and trained staff on the use of Banner® processes based on those values to ensure they met their go-live deadline.

- *Fairfield University (CT)*. Conducted a post-implementation analysis of Banner® Financial Aid. Institution's Director of Financial Aid had left and no documentation existed for remaining staff to use to continue business processing. Implemented suggested business process enhancements and the associated enhancements of Banner® functionality and assisted with development of written documentation of business processes.
- *Lane Community College (OR)*. Provided a full new Banner® implementation, covering all modules of financial aid processing: record creation, requirements tracking, verification, budgeting, packaging, disbursement, student employment, loan processing, FISAP processing, transfer monitoring, Return of Title IV funds, Electronic Data Exchange, population selections, letter generation, and self-service. Provided guidance on best practices, oversaw extensive testing, and developed procedures to support the Banner® implementation business processes. Conducted several post-go-live support sessions. Institution's student body numbered 30,000.
- *Lehigh Carbon Community College (PA)*. Assisted with resolution of several issues, such as Pell grant COD processing and satisfactory academic progress. Later conducted a post-implementation analysis of Banner® Financial Aid and implemented suggested business process enhancements of Banner® functionality.
- *Mayo Clinic College of Medicine and Health Sciences (MN)*. Provided a full new Banner® implementation for the College of Medicine and Health Sciences, which consisted of a large number of diverse medical programs, most of which were at the graduate level. Programs included medical school, pharmacy, physical therapy, occupational therapy, laboratory sciences, radiology technology, nuclear medicine, graduate nursing, and surgical nursing. Covered all modules of financial aid processing: record creation, requirements tracking, verification, budgeting, packaging, disbursement, student employment, loan processing, FISAP processing, transfer monitoring, Return of Title IV funds, Electronic Data Exchange, population selections, and letter generation, email notifications, and self-service. Configured all modules of Banner® Financial Aid based upon data and information obtained during business process discovery sessions. Provided guidance on best practices, oversaw extensive testing, and developed procedures to support the Banner® implementation business processes. Conducted several post-go-live support sessions.
- *Pellissippi State Technical Community College (TN)*. Provided post-go-live training to staff on use of Banner® letter generation, including use of population selections, configuration of letters, and processing of letters.
- *Rowan University (NJ)*. Assisted with merger of University of Medicine & Dentistry of New Jersey into Rowan University. Included alignment of ISIR load, requirements tracking, budget assignment, packaging, disbursement, and satisfactory academic progress. Later conducted a post-implementation analysis of Banner® Financial Aid and implemented suggested business process enhancements of Banner® functionality; the analysis was requested by upper administration in response to lack of transparency of processing on the part of the Director of Financial Aid. Process rework included requirements tracking, verification, budget assignment, packaging, and satisfactory academic progress.
- *St. Louis Community College (MO)*. Provided a post-go-live review of the institution's requirements for processing student loans using electronic loan processes. Assisted with development of procedures and testing of processes to allow for effective loan processing.
- *Tarleton State University (TX)*. Provided post-go-live guidance for configuring Banner® Financial Aid to manage the parts of term structure during the University's summer term.
- *Texas Tech University and Health Sciences Center (TX)*. Provided a full new Banner® implementation for the University and the Health Sciences Center, which consisted of a large number of diverse medical programs, such as two different medical schools, pharmacy, physical therapy, occupational therapy, audiology, and nursing. The two "parts" of the university systems existed within one virtual private database (VPD). Covered all modules of financial aid processing:

record creation, requirements tracking, verification, budgeting, packaging, disbursement, student employment, loan processing, FISAP processing, transfer monitoring, Return of Title IV funds, Electronic Data Exchange, population selections, and letter generation. Provided guidance on best practices, oversaw extensive testing, and developed procedures to support the Banner® implementation business processes. Conducted several post-go-live support sessions.

- *University of Hawaii Community Colleges System (HI)*. Was part of a team of financial aid consultants that led 7 community colleges through a full “fast-track” implementation on a full-time designation basis beginning in February with a go-live in July. These community colleges and the three universities existed within one virtual private database (VPD).
- *University of West Florida (FL)*. Provided a full new Banner® implementation on a full-time designation basis, covering all modules of financial aid processing: record creation, requirements tracking, verification, budgeting, packaging, disbursement, student employment, loan processing, FISAP processing, transfer monitoring, Return of Title IV funds, Electronic Data Exchange, population selections, letter generation, email notifications, and self-service. Provided guidance on best practices, oversaw extensive testing, and developed procedures to support the Banner® implementation business processes. Conducted several post-go-live support sessions.
- *Wake Forest University (NC)*. Provided post-go-live support for the Financial Aid team with annual new year roll and setup and conducted reviews of new functionality, such as advanced Banner® Financial Aid self-service. Assisted individual staff members with particular issues and questions during the annual visit.
- *Western Governors University (UT)*. Provided post-go-live review and assistance with setup of advanced self-service features. Assisted with specific issues with which various staff were dealing.

Expertise

- Algorithmic Packaging
- Application Record creation
- Award History
- Budgeting
- Disbursement
- Electronic Data Exchange
- Electronic Loans
- Email notifications
- Financial Aid Common Functions
- Funds Management
- Letter Generation
- Loan Processing
- Need Analysis
- New Aid Year Setup
- Packaging
- Population selections
- Post Implementation Assessment
- Requirements Tracking
- Return of Title IV Funds
- Satisfactory Academic Progress (SAP)
- Self-Service, including advanced feature
- Short-term Credit
- Student Employment
- Student System Shared Data
- Transfer Monitoring
- Verification

Education and Credentials

- MPA, Public Administration, University of North Florida, Jacksonville, FL
- BS, Medical Technology, Florida State University, Tallahassee, FL
- AA, St. Johns River Community College, Palatka, FL

Norman J. Rahn, Senior Consultant

Summary

- Banner® Financial Aid Specialist
- 28 years' experience in higher education
- 24 years' experience in information technology systems
- 17 years' experience with Ellucian Banner® Financial Aid

Selected Client Experience

Served as a senior consultant for the implementation of Banner® at numerous client sites, including:

- *Antelope Valley College (CA)*. Provided post-implementation support and the implementation of additional Financial Aid modules after Go-Live, including Satisfactory Academic Progress and Electronic Loans. Assisted with the annual New Year roll process, including analysis of business processes and the implementation of enhanced functionality as appropriate. Migrated the institution from a custom process to administer Board of Governors Fee Waivers (BOGW) to the Banner® CALB functionality. Implemented the Web snapshot functionality including the creation of several custom layouts.
- *Citrus College (CA)*. Provided implementation and post-implementation support. Implemented the initial version of the Banner® CALB Board of Governors Fee Waiver (BOGW) functionality when it was first released. Defined the rules and population selections used with all of the major Banner® Financial Aid processes. Developed the Banner® email communications configuration and procedures for notices sent to students regarding missing requirements, awards and satisfactory academic progress.
- *City College of San Francisco (CA)*. Provided post-Go-Live support for the enhanced use of Banner® letter generation to include batch processing of missing documentation and award letter communications. Assisted in the development of procedures for the preparation of files so those that required and were ready for review could be assigned to appropriate staff.
- *College of the Sequoias (CA)*. Conducted training and consulting for the implementation of Banner® Financial Aid. Provided guidance on best practices and developed procedures to support the Banner® implementation business processes. Worked with the Accounts Receivables department to develop refund procedures including the creation of population selections and procedures to correctly identify and create refunds for students. Implemented the Financial Aid email process and assisted in migrating many communication processes to this new functionality.
- *Imperial Valley College (CA)*. Initiated the implementation of the Banner® Financial Aid module. Trained and consulted on the data load, requirements tracking and applicant budgeting modules. Developed the appropriate procedures and population selections to be used with these processes.
- *North Orange County Community College District (CA)*. Consulted on the new aid year roll process and the development of enhanced system usage. Implemented the Banner® CALBFA Board of Governors Fee Waiver (BOGW) functionality with both campuses of the district. Implemented algorithmic aid period assignment and automated packaging to reduce manual review and processing of records.
- *San Mateo Community College District (CA)*. Conducted post-implementation analysis of Banner® Financial Aid with recommendations for enhanced use of baseline functionality. Trained staff on the use of new functionality and implemented enhancements to current business processes. Assisted in the development of processes and configuration of Banner® to support the awarding and disbursement of scholarships within Banner®.
- *Solano Community College (CA)*. Conducted an assessment of the institution's Banner® Financial Aid usage. Identified opportunities for enhanced usage of Financial Aid functionality. Developed the necessary Banner® configuration and procedures to automate the packaging process. Modified the configuration of the Satisfactory Academic Progress (SAP) module based on revised institutional policies and best practices. Implemented the Banner® CALB Financial Aid functionality

to load California Dream Act Applications (Cal ISIR), including the development of population selections and procedures.

- *Aims Community College (CO)*. Implemented Satisfactory Academic Progress (SAP) after the institution had already gone live with Banner® Financial Aid. Trained Financial Aid staff on batch packaging to include the development of population selections and procedures for using the functionality. Trained the staff on the Return to Title IV functionality and developed procedures for the use of the functionality.
- *Cleveland State Community College (TN)*. Conducted new aid year roll processes, including configuration the of Automic Applications Manager® process flows for the new aid year. Trained new staff on data load and communications processes.
- *Community College of Philadelphia (PA)*. Served as the Associate Director of Information Systems. Defined goals, timelines, and developed strategy for all administrative and student information systems projects. Led the design, implementation, maintenance, security, and delivery of administrative and student information systems applications, services, and supporting technical architectures. Developed strategic plans for the incorporation and use of new technologies. Provided consulting on how to best implement Banner® Financial Aid as part of the larger implementation. Much of the training had been completed and configuration finished, but the client was not familiar with how to develop the business processes according to best practices and within the parameters of how Banner® had been implemented. Business processes and the necessary population selections and parameter sets were defined for effective use of Financial Aid consistent with federal, state, and institutional regulations and policies.
- *Covenant College (GA)*. Implemented Satisfactory Academic Progress including development of the rules for group assignment, population selections for communications, letters for notifications to students, and development of business procedures for running the processes.
- *Eastern Kentucky University (KY)*. Reviewed the institution's requirements for processing student loans using electronic loan processes. Developed procedures and the associated population selections and parameter sets to allow for effective loan processing.
- *Eastern New Mexico University (NM)*. Conducted an assessment of the institution's implementation of Satisfactory Academic Progress (SAP). Assisted with the reimplementation of SAP to more effectively assess an applicant's academic performance and to assign the appropriate status.
- *Hawaii Pacific University (HI)*. Re-implemented the Satisfactory Academic Progress module and implemented period-based algorithmic budgeting.
- *Ithaca College (NY)*. Conducted training and consulting for the implementation of Banner® Financial Aid. This implementation involved extensive use of institutional methodology and a complex packaging matrix to support the institution's enrollment and revenue goals.
- *La Salle University (PA)*. Served as the Assistant Director of Financial Aid. Administered the Pell Grant and PA State Grant programs. Supervised the Student Loan Officer and all loan programs. Completed the Institutional Payment Summaries for the Pell Grant Program and certified all state grant eligibility rosters.
- *McGeorge School of Law – University of the Pacific (CA)*. Assessed the feasibility of implementing Banner® Financial Aid at the institution within the University of the Pacific's existing Banner® system. After determining that this was possible, the Financial Aid module was implemented to allow successful processing at both institutions. The implementation involved the development of coding structures and procedures to allow for processing at both campuses within baseline functionality.
- *Moore College of Art and Design (PA)*. Served as the Director of Financial Aid and the Associate Director of Enrollment Management. Developed a 5-year financial aid budget and a packaging model for new and returning students. Revised the merit award matrix to meet the parameters of the financial aid budget and institution's enrollment needs. Participated in all strategic planning for recruitment activities with specific attention to integrating Financial Aid and Admissions efforts.

- *New England Institute of Technology (RI)*. Conducted a post-implementation analysis of Banner® Financial Aid. Implemented suggested business process enhancements and the associated enhancements of Banner® functionality. Developed procedures and configurations to support loans that crossed over aid periods. Assisted in the development of business processes for the identification and processing of student refunds for the Business Office.
- *Philadelphia College of Osteopathic Medicine – PCOM (PA)*. Provided post-implementation training and consulting services on all modules of Banner® Financial Aid. Assisted with the New Year roll process, including recommended enhancements along with implementation of the enhancements. Developed procedures to support the client's use of institutional methodology for institutional scholarships, including the use of parental contribution for independent students.
- *University of Mary Washington (VA)*. Assisted in review of processes and implementation of enhanced processes, implemented algorithmic packaging to support the college's packaging model, re-implemented Satisfactory Academic Progress to support policy changes.
- *William Paterson University (NJ)*. Assisted with streamlining data load and group assignment processes. Developed packaging and disbursement rules to support new institutional scholarships, implemented algorithmic packaging to support the university's packaging model, trained and implemented enhancements to Banner® Financial Aid Self-Service, developed and implemented population selections and letter configuration for the Banner® Financial Aid email communication process. Assisted the client with implementation of period-based algorithmic budgeting to reduce manual adjustments of students' budgets.

Expertise

- Algorithmic Packaging
- Application Record creation
- Award History
- Banner® Financial Aid
- Budgeting
- Disbursement
- Electronic Data Exchange
- Electronic Loans
- Financial Aid Common Functions
- Funds Management
- Institutional Methodology
- Load Processing
- Need Analysis
- New Aid Year Setup
- Packaging
- Post-Implementation Assessment
- Process Design and Reengineering
- Project Management
- Requirements Tracking
- Return of Title IV Funds
- Satisfactory Academic Progress (SAP)
- Self-Service
- Short-term Credit
- Student Employment
- Student Sys Shared Data
- Transfer Monitoring
- Verification

Other Relevant Experience

- *Arch Street Consulting*. President and Senior Consultant. Assisted in the development of specifications for enhancements to Banner® to support institutionally defined priorities where key business processes were not supported in baseline functionality. Provided project management, process design, and reengineering of information systems.
- *Systems & Computer Technology (Ellucian)*. Financial Aid Consultant. Assessed a client's business practices and procedures to determine how to best design a Banner® Financial Aid implementation. Developed training plans to match clients' specific needs. Maintained current knowledge of federal regulations and assisted clients in satisfying the requirements of the regulations.

- *Drexel University (PA)*. Served as a Financial Aid Counselor. Reviewed financial aid applications to determine the extent of student's financial need. Certified student loans according to federal regulations.
- *Saint Joseph's University (PA)*. Served as the Acting Associate Director and a counselor for Financial Aid. Assisted in the completion of the FISAP, reconciled the Pell Grant and state grant programs, and assisted with the facilitation of necessary changes in the administrative computer system.

Education and Credentials

- BA, Psychology and Criminal Justice, La Salle University, PA

Appendix C: Case Study

*SMCCCD: Transforming the Way Financial Aid Services
Are Delivered to Students*

CHALLENGES

- Improve financial aid services for an increasing number of student applications
- Decrease the amount of time needed to process applications for aid
- Automate primarily manual and paper-intensive processes
- Standardize inconsistent processes across the three campuses
- Maximize San Mateo County Community College District's ERP and technology investment

SOLUTIONS

- Analyze current processes & identify opportunities for improvement
- Redesign processes to achieve significant efficiencies
- Integrate ERP functionality more closely with external systems to simplify the process, and get money to students faster

RESULTS

- Timely financial aid services provided to greater number of students
- Significantly more efficient 20-step process re-imagined out of a complicated, redundant 50-plus step method
- Increased staff availability to personally assist students
- Streamlined and standardized processes across all three colleges



College of San Mateo



Transforming the Way Financial Aid Services Are Delivered to Students

San Mateo County Community College District was established in 1922 and consists of three fully-accredited colleges: College of San Mateo, Cañada College, and Skyline College.

Located in Northern California, the District is one of the largest 2-year college systems in California, and offers a wide variety of transfer programs as well as more than 90 Career Technical Education programs. In addition to traditional and online courses, the District also offers televised credit courses each semester.

Profile

Serving a diverse population from nearby rural coast-side communities, suburbs, and high-tech urban cities, the District experienced demographic trends similar to those throughout the state, such as, diversity of student ethnic backgrounds, age, education preparedness, and life goals.

Regional challenges, including a growing income gap, predicted decline in high school graduates, and the absence of a major public university in the area have impacted enrollment at the colleges as well. Additionally, from 2008 through 2011, the District experienced the effects of a weakening economy, further impacting a declining enrollment in on-ground and on-line courses.

Challenges

All of the above mentioned circumstances contributed to an increase in the number of students seeking financial aid. As a result, processing applications became more time-consuming and labor intensive causing the length of time for funds disbursement to grow longer, and services to students lessened.

"In 30 years of work in higher education, Business Process Analysis was the most successful way to make big changes in a short period of time."

*Jennifer Hughes,
Vice President of Student Services, College of San Mateo*

Strata Information Group

Information Technology & Management

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In addition, processes, policies, procedures, communication, and documentation were not consistent among the colleges' Financial Aid offices. With diverse approaches to delivering services, college staffs, although willing, were unable to find efficiencies that would benefit all three offices.

Leadership at the District and the colleges realized that to improve financial aid processing, work practices needed to be consistent and efficient as possible. This meant finding ways to maximize its available Enterprise Resource Planning (ERP) system and related technology.

Where to Start?

With primarily manual and campus-specific financial aid work practices struggling to serve increasing enrollments, college leaders recognized that it was time to review how services were being delivered and how technology supported staff tasks.

There was also a desire to standardize work processes at the three colleges to ensure the same level of assistance and service regardless of the institution.

To identify the best practices that could be adapted for the three colleges, the District determined that an objective third party with expertise in Business Process Analysis (BPA) and the District's ERP system and related technology would yield the most promising potential for success. **Strata Information Group (SIG)** was selected given its expertise and experience supporting higher education institutions for the past 27 years.

Getting Underway

SIG brought in a team of highly experienced consultants to examine the financial aid and scholarship processes beginning with the processing of financial aid applications through funds disbursement during a 3-day BPA workshop setting. The objectives were to:

- Map existing processes using block diagrams that highlighted bottlenecks, workarounds, shadow systems, and redundancies
- Identify obstacles and potential improvement opportunities
- Design new processes that enhanced service, reduce steps, and took full advantage of the technology
- Identify next steps to implement the new processes across the colleges, aligning policy, processes, people, and technology

Workshop participants represented Financial Aid, Admissions and Records, Cashiering, and

Finance from all three colleges and the Foundation and Information Technology Services from the District Office.

As current work processes were charted, additional observations emerged:

- There was widespread use of spreadsheets and shadow systems which required double and triple checking to ensure Compliance
- ERP functionality was not being fully employed for auto-packaging, Satisfactory Academic Progress (SAP) calculations, Institutional Student Information Record (ISIR) corrections, and others

In preparing to design the new financial aid process, opportunities for improvement began to surface, including potential technology that could streamline and increase efficiency. SIG consultants provided guidance on how ERP functionality and other District technology could support the new process.

Developing Solutions

As a result of the workshop, an improved financial aid process was developed for use across the colleges. Major objectives included:

- Eliminating barriers & hardcopy paperwork
- Utilize unused ERP and related technology functionality to allow staff more time to work with students
- Simplify workflow and procedures
- Scale processes for future growth
- Enable students to move through the system without manual intervention

With planning completed, and with assistance from SIG, the District began implementation.

Results—1 Year Later

One year after the BPA and redesign, a half-day workshop examined the project's results. Some of the key achievements included:

- Executive level support to implement changes
- Standardization across all three colleges
- Simplification of the financial aid experience
- More time to work with students
- More students receiving financial aid, faster
- Better utilization of ERP functionality
- More effective use of document imaging technology
- Automation of twelve (12) business processes in Financial Aid
- Reduced number of tracking documents from 120 to less than 40
- Better coordination and collaboration among the Financial Aid staff/colleges
- Plus many more





ADDENDUM
March 8, 2016

ADDENDUM NO. 2 TO ALL OFFERORS:

Reference – Request for Proposals: RFP 16-515 Banner Financial Aid Consulting
Date Issued: February 24, 2016
For Delivery to: University of Mary Washington, Commonwealth of Virginia
Proposal Due Date: March 16, 2016 at 10:00am

This addendum consists of one (1) pages.

Questions from Offerors:

- 1. Are you able to state the estimated hours or estimated total of resources needed for this project? Do you estimate needing multiple resources or just one?**

We are looking for quarterly visits to the campus for a minimum three-consecutive day period of time along with monthly one hour calls to review issues when needed. The resources needed also depend on how Financial Aid ends up according to the PPY regulatory changes. The maximum time may be anywhere from 100-125 hours but we do not want to set that in stone as that could change depending on the circumstances.

END OF ADDENDUM NO. 2

Michelle Miller
Buyer Specialist
Procurement Services
University of Mary Washington
Phone: (540)654-2260

RFP 16-515 Addendum No. 2 (and all addenda) should be acknowledged and included in the RFP submittal package.

NAME OF OFFERING FIRM: _____

NAME OF OFFEROR REPRESENTATIVE: _____

OFFEROR SIGNATURE: _____

DATE: _____



ADDENDUM
March 8, 2016

ADDENDUM NO. 1 TO ALL OFFERORS:

Reference - Request for Proposals: RFP 16-515 Banner Financial Aid Consulting
Date Issued: February 24, 2016
For Delivery to: University of Mary Washington, Commonwealth of Virginia
Proposal Due Date: March 16, 2016 at 10:00am

This addendum consists of one (1) pages.

Questions from Offerors:

1. IV.A.5 - Does the Financial Aid Office utilize any additional systems for their internal reporting? If so, please describe.

Banner is the system of record for most internal reports and we use SharePoint reports to gather data from Banner for both external reporting and internal compliance tracking. SharePoint reports are created by the UMW IT department based on criteria submitted and output desired.

2. IV.B.1 - Are there any specific value-added services that the University is interested in?

There are no specific value-added services at this moment that the University is interested in capitalizing on, however if the firm offers any other kinds of specific Consulting such as on other Banner modules or on Banner in general or other types of consulting, please include those services within the RFP. The intention of this RFP is to result in a cooperative contract that can be used by other Higher Education Institutions as well as other state agencies, so we would like to have the ability in this contract for others to potentially use the other services your firm may be able to provide even if they do not specifically need the Banner Financial Aid module consulting services.

3. If the pricing table provided is not specifically how our firm structures pricing, are we able to submit an alternative pricing table?

Yes, you may submit an alternative pricing table if your firm does not use the structure provided in the RFP. If we have any clarification questions in order to evaluate your proposal fairly against any other competitors, we will ask.

END OF ADDENDUM NO. 1

Michelle Miller
Buyer Specialist
Procurement Services
University of Mary Washington
Phone: (540)654-2260

RFP 16-515 Addendum No. 1 (and all addenda) should be acknowledged and included in the RFP submittal package.

NAME OF OFFERING FIRM: _____

NAME OF OFFEROR REPRESENTATIVE: _____

OFFEROR SIGNATURE: _____

DATE: _____



SEALED REQUEST FOR PROPOSALS (RFP)

ISSUE DATE: February 24, 2016
RFP NUMBER & TITLE: RFP 16-515 Banner Financial Aid Consulting
PROPOSAL DUE DATE & TIME: March 16, 2016 @ 10:00am EST
ISSUING AGENCY & ADDRESS: University of Mary Washington, Procurement Services, Eagle Village Executive Offices, Suite 480, 1125 Jefferson Davis Hwy., Fredericksburg, VA 22401
WORK LOCATION: Fredericksburg, VA
COMMODITY CODE(S): 91800, 91829, 96156, 92040, 92045
CONTRACT OFFICER: Michelle Miller EMAIL: mmiller8@umw.edu
PERIOD OF CONTRACT: Date of Award through One year with five (5) one-year renewals options.

In compliance with this Sealed Request for Proposal (RFP) and to all the conditions imposed therein and hereby incorporated by reference, the undersigned firm offers and agrees to furnish the goods/services in accordance with the attached signed proposal or as mutually agreed upon by subsequent negotiation. The undersigned firm hereby certifies that all information provided below and in schedule or attachment of this document is true, correct and complete.

THIS FORM MUST BE COMPLETED AND RETURNED WITH PROPOSAL

Name of Offering Firm:
Address of Offering Firm:
DSBSD Designation (Check All That Apply): Micro Small Woman-Owned Minority-Owned
DSBSD Certification No.: Expiration Date:
Virginia Contractor License No.: Class:
eVA ID or DUNS No.: FEIN:
Email: Telephone:
Website: Fax:
Submitted By (Print Name & Title):
Signature (In Ink): Date:
RFP Notification Received By: eVA VBO The Free Lance-Star Other:

SEALED REQUEST FOR PROPOSALS (RFP)

QUESTIONS/INQUIRIES: All inquiries for information should be directed via email to the contract officer listed above, referencing the solicitation by name and number. No questions will be accepted after **March 7, 2016 @ 10:00am.**

PROPOSALS: Sealed Proposals for furnishing the goods/services described herein must reach the listed contract officer by the deadline stated above in order to be considered by email or by mail. It is the responsibility of the offeror to ensure that the proposal is received on time.

- a. Proposals must be submitted either in person or by mail in an envelope or container that clearly identifies the contents as a response to this RFP.
- b. UMW requires the inclusion of a clearly marked redacted proposal if any portion of the Offeror's proposal contains proprietary information.
- c. If proposal are mailed, send directly to issuing agency and buyer shown above. If proposals are hand delivered, deliver directly to a Procurement Services staff member only.
- d. All contracts will be published on UMW's Public Contracts Portal
<https://umw.cobblestonesystems.com/public/>.

ADDENDA: Any changes resulting from the University's requirements will be issued in an addendum and will be posted on the eVA website: <http://www.eva.virginia.gov>. It is the sole responsibility of the Offeror to check for all changes to the RFP prior to submission.

TENTATIVE TIMELINE AND KEY DATES (subject to change):

- a. Questions from Offerors accepted only through March 7, 2016 @ 10:00am EST
- b. Proposals are Due: March 16, 2016 at 10:00am EST
- c. Initial Evaluations complete: April 1, 2016
- d. Tentative Proposal Clarifications: April 4-15, 2016
- e. Tentative Negotiations to be complete: April 29, 2016
- f. Tentative Award/Intent to Award: May 2, 2016
- g. Tentative Commencement of Contract (signed): May 12, 2016

INCLEMENT WEATHER/SUSPENDED SCHEDULE: Proposal receipt deadline scheduled during a period of suspended state business operations, including school closing due to inclement weather, will be rescheduled for processing at the same time on the next regular business day. It is your responsibility to check UMW's website or call for closing information: www.umw.edu or (540) 654-2424.

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Note: This public body does not discriminate against faith-based organizations in accordance with the Code of Virginia, § 2.2-4343.1 or against a bidder or offeror because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment.

- I. **PURPOSE:** The University of Mary Washington ('UMW' or 'the University') is soliciting proposals from qualified Offerors in order to establish a contract to primarily provide Banner Financial Aid Consulting to the Financial Aid Office. If the Offeror is able to provide Banner Consulting services or other value-added services in addition to the Banner Financial Aid Consulting, that is desirable but is not required.
- II. **ORGANIZATIONAL OVERVIEW:** The University of Mary Washington is a coeducational, state-supported institution of the Commonwealth of Virginia enrolling a total of approximately 4,500 undergraduate and graduate students. The institution currently consists of three academic campuses and three colleges – Arts and Sciences, Business and Education. Additional information is available at: <http://www.umw.edu/about/>
- III. **BACKGROUND:** In 2014, the University of Mary Washington executed a Consulting contract with Strata Information Group (SIG) to provide Banner Financial Aid Consulting services. Consulting services have focused on the updating of Banner FA and SSB modules to utilize new functionality or streamline processes that were not meeting current industry or UMW standards. Banner modules were out of date and needed to be modernized. Automation of financial aid packaging was developed to ensure timely delivery of prospective student awards, posting of new merit awards and award letter generation. The net tuition revenue model packaging process was also developed in Banner to ensure accurate awarding of merit and need-based gift aid.
- IV. **STATEMENT OF NEEDS:** The Offeror shall provide consulting for the following services:
- A. The Offeror shall provide consulting services for the following:
1. Implementation and process analysis on the Banner Financial Aid (FA) and Self Service Banner (SSB) modules.
 2. The consultant shall work with Banner FA and the University's Financial Aid Staff to redesign, test, and implement critical efficiency and technical improvements to ensure compliance with best practices in Financial Aid management for Higher Education.
 3. The consultant shall assist with modernization of internal processes, improved communication, and improved procedural documentation to support important upcoming changes in financial aid.
 - a. The consultant shall be on-site for 3 consecutive days each quarter, as needed, to assist with the modernization project and review progress.
 4. The consultant shall be available for support by phone or email during normal business hours of 8am-5pm, Monday through Friday.
 5. The consultant shall be well-versed in SQL language and be able to create scripts necessary to ensure Banner processes run smoothly within the job scheduler, Banner FA module, and internal reports.
 6. Deliverables:
 - a. With the inception of the Prior Prior Year (PPY) processing for 2017-2018 that will begin in October 2016, it is important to have the Banner systems ready to begin importing ISIR data.
 - b. Work to update automated packaging, net tuition models and awarding parameters will need to be set by late fall, therefore the consultant must be ready to assist UMW with this work no later than September 1, 2016.
- B. Other Value-Added services:

1. State any additional value-added services the firm is able to provide including other Consulting areas, etc. Please include a pricing table of other services offered on Attachment A. and submit with proposal.

V. CONTRACT ADMINISTRATION:

- A. The Director of Financial Aid or designee, shall be identified by the University as the Contract Administrator and shall use all powers under the contract to enforce its faithfulness and performance in conjunction with the University's Procurement Services department.
- B. The Contract Administrator shall determine the amount, quantity, acceptability, fitness of all aspects of the services and shall decide all other questions in connection with the services. The Contract Administrator shall not have authority to approve changes in the services which alter the concept or which call for an extension of the contract term. Any modifications made to the contract must be authorized by the University's Procurement Services Department through a written two-party modification to the contract.

VI. PROPOSAL SUBMISSION REQUIREMENTS: General requirements for proposal preparation

- A. Proposal submission:
 1. **One (1) original hard copy** (paper) document of the proposal, including all attachments and proprietary information.
 2. If your proposal includes proprietary information and you are invoking protection from disclosure under §2.2-4342F of the Code of Virginia, *you must submit **one (1) redacted copy of the proposal clearly marked with the words "REDACTED COPY" on the cover.** No other distribution of the proposals shall be made by the offeror.*
 3. **One (1) unsecured electronic** media version (Flash Drive preferable, or DVD/CD) of the entire proposal. The files on the electronic media must be clean, easy to read, and complete.
- B. All information requested must be submitted. Failure to submit all information requested may result in request for prompt submission of missing information and/or a lowered evaluation of the proposal. Offerors may be given an opportunity to correct a deficiency in their proposals, within an appropriate period of time, as determined by the Procurement office. Offerors who fail to submit required documentation or meet mandatory requirements, in such time for evaluation purposes may be eliminated from further consideration.
- C. This Sealed Request for Proposal creates no obligation on the part of the University to award a contract or to compensate vendors for proposal preparation expenses. The University will not be responsible for any costs incurred by any vendor in preparing and submitting a proposal. The University reserves the right to accept or reject any and all proposals, in whole or in part, received as a result of this RFP, to waive minor informalities, or to negotiate with all responsible vendors in any manner necessary to serve the best interests of the University.
- D. Trade secrets or proprietary information submitted for a procurement transaction shall not be subject to public disclosure under the Virginia Freedom of Information Act; however, the offeror must invoke the protection of Code of Virginia, § 2.2-4342F, in writing, prior to or upon submission of the data or other materials, and must identify the specific data or other materials to be protected and state the reasons why protection is necessary. *However, the classification of an entire proposal document, line item prices and/or total proposal prices as proprietary or as a trade secret is not*

acceptable. If, after being given reasonable time, the offeror refuses to withdraw an entire classification designation, the proposal will be rejected.

- E. Proposals should be as thorough and detailed as possible so that the University of Mary Washington may properly evaluate the Offeror's capabilities to provide the required services.
- F. In accordance with the University's sustainability initiatives, must be prepared simply, economically, and with the ability to be recycled. A simple staple, a binder clip, or if necessary, a reusable 3-ring binder are all university-preferred methods to hold dual-side printed proposal documents. Only send the quantity of copies requested in the RFP. It is preferable that semi-permanent bindings made of non-recyclable materials (i.e. plastic combs, spiral wire) are not used to bind documents.
- G. Vendors who submit a proposal in response to this RFP may be required to give an oral presentation of their proposal to the university. This will provide an opportunity for the vendor to clarify or elaborate on the proposal. This is a fact-finding and explanation session only and does not include negotiation. Oral presentations are an option of the university and may not be conducted, therefore proposals should be complete.
- H. Due to the nature of this Sealed Request for Proposals, the University may find it necessary and reserves the right to arrange a site visit or visits which may be unscheduled.

VII. PROPOSAL PREPARATION INSTRUCTIONS: Proposals should be as thorough and detailed as possible so that the Proposal Evaluation Team can properly evaluate the Offeror's capabilities to provide the required services. Offerors are required to submit the following items within the proposal:

- A. Complete and return signed RFP cover page. Proposals shall be signed by an authorized representative of the Offeror.
- B. Complete and return signed addenda acknowledgments (if applicable).
- C. Submit a complete response to the RFP, separated by tabs:
 - 1. A brief description (no more than 2 pages) regarding the Offeror's operational expertise, describing the firm's capability to provide a successful product if awarded, that includes:
 - a. Description and history of the Offeror including the nature and scope of its operation, how long the firm has been doing business, and a description of the full range of products or services provided by the firm.
 - b. Description of the firm's experience in providing similar products or services to other agencies, specifically including other Institutions of Higher Education, state agencies, or other governmental entities and how many years the firm has provided the products or services to these agencies.
 - 2. Provide three (3) current or recent references, preferably from Higher Education institutions in similar size to UMW, where the firm has provided similar services or products. Information should include the name of the company, a primary contact name, phone number, and email address if available.
 - 3. **A statement or brief description of how the proposed solution can meet each requirement as listed in Section IV. STATEMENT OF NEEDS.**
 - 4. Submit any other services offered by the firm that UMW may have access to in addition to the Banner Financial Aid consulting and include in Cost Proposal.
 - 5. Completed Cost Proposal table as outlined on ATTACHMENT A. COST PROPOSAL.
 - 6. Submit a copy of any service, license/software, or maintenance agreement requiring signature before commencement of services with the proposal submission for UMW to review.

7. Any additional information the vendor feels the University should consider in evaluating the proposal.

VIII. EVALUATION AND AWARD CRITERIA:

Evaluation Criteria - Proposals shall be evaluated by the University of Mary Washington Evaluation Committee using the following criteria:

Criteria	Point Value
Quality of Solution: how well the solution meets the needs of the University	35
Pricing: total cost of the solution	30
Vendor Experience: vendor's experience in providing similar solutions to similar agencies	25
Small Business Subcontracting Plan	10
Total	100

- IX. GENERAL TERMS AND CONDITIONS:** Please refer to the link to follow regarding Required General Terms and Conditions of this Solicitation which are a mandatory part of the resulting contract:

<http://adminfinance.umw.edu/procurement/umw-policies-and-procedures-2/>

X. SPECIAL TERMS AND CONDITIONS:

- A. ACCEPTANCE PERIOD:** Any bid in response to this solicitation shall be valid for sixty (60) days. At the end of the sixty (60) days the bid may be withdrawn at the written request of the bidder. If the proposal is not withdrawn at that time it remains in effect until an award is made or the solicitation is canceled.
- B. AUDIT:** The Contractor hereby agrees to retain all books, records, and other documents relative to this contract for five (5) years after final payment, or until audited by the Commonwealth of Virginia, whichever is sooner. The Agency, its authorized agents, and/or State auditors shall have full access to, and the right to examine any of said materials during said period.
- C. AVAILABILITY OF FUNDS:** It is understood and agreed between the parties herein that the agency shall be bound hereunder only to the extent of the funds available or which may hereafter become available for the purpose of this agreement.
- D. AWARD OF CONTRACT:** Selection shall be made two (2) or more Offerors deemed to be fully qualified and best suited among those submitting proposals on the basis of the evaluation factors included in the Sealed Request for Proposal, including price, if so stated in the Sealed Request for Proposal. Negotiations shall be conducted with the Offerors so selected. Price shall be considered, but need not be the sole determining factor. After negotiations have been conducted with each Offeror so selected, the University shall select the Offeror which, in its opinion, has made the best proposal, and shall award the contract to that Offeror. The University reserves the right to make multiple awards as a result of this solicitation. The University may cancel this Sealed Request for Proposal or reject proposals at any time prior to an award, and is not required to furnish a statement of the reason why a particular proposal was not deemed to be the most advantageous (*Code of Virginia, §2.2-4359D*). Should the University determine in writing and in its sole discretion that only one Offeror is fully qualified, or that one Offeror is clearly more highly qualified than the others under consideration, a contract may be negotiated and awarded to that Offeror. The award document will be a contract incorporating by reference all the requirements, terms and conditions of the solicitation and the contractor's proposal as negotiated.

E. CANCELLATION OF CONTRACT: The University reserves the right to cancel and terminate any resulting contract, in part or in whole, without penalty, upon thirty (30) days written notice to the Contractor. In the event the initial contract period is for more than twelve (12) months, the resulting contract may be terminated by either party, without penalty, after the initial twelve (12) months of the contract period upon thirty (30) days written notice to the other party. Any contract cancellation notice shall not relieve the Contractor of the obligation to deliver and/or perform all outstanding orders issued prior to the effective date of cancellation.

F. COOPERATIVE PROCUREMENT/ADDITIONAL USERS - USE OF AGREEMENT BY THIRD PARTIES: It is the intent of this solicitation and resulting contract(s) to allow for cooperative procurement. Accordingly, any public body (to include government/state agencies, political subdivisions, etc.), cooperative purchasing organizations, public or private health or educational institutions, or any University affiliated agency and/or corporation may access any resulting contract if authorized by the Contractor.

Participation in this cooperative procurement is strictly voluntary. If authorized by the Contractor(s), the resultant contract(s) will be extended to the entities indicated above to purchase goods and services in accordance with contract terms. As a separate contractual relationship, the participating entity will place its own orders directly with the contractor(s) and shall fully and independently administer its use of the contract(s) to include contractual disputes, invoicing and payments without direct administration from the University. No modification of this contract or execution of a separate agreement is required to participate; however, the participating entity and the contractor may modify the terms and conditions of this contract to accommodate specific governing laws, regulations, policies, and business goals required by the participating entity. Any such modification will apply solely between the participating entity and the Contractor.

The Contractor will notify the University in writing of any such entities accessing this Contract. The Contractor will provide semi-annual usage reports for all entities accessing the Contract. The Contractor should consider an offer of special tiered pricing or rebates to all entities accessing the contract, based on the results of such reporting. This tiered pricing and/or rebate structure should be included with the Bidder/Offeror's bid or proposal package.

The University shall not be held liable for any costs or damages incurred by any other participating entity as a result of any authorization by the Contractor to extend the Contract. It is understood and agreed that the University is not responsible for the acts or omissions of any entity, and will not be considered in default of the Contract no matter the circumstances.

Use of this Agreement does not preclude any participating entity from using other agreements or competitive processes.

G. E-VERIFY PROGRAM: EFFECTIVE 12/1/13. Pursuant to Code of Virginia, §2.2-4308.2., any employer with more than an average of 50 employees for the previous twelve (12) months entering into a contract in excess of \$50,000 with any agency of the Commonwealth to perform work or provide services pursuant to such contract shall register and participate in the E-Verify program to verify information and work authorization of its newly hired employees performing work pursuant to such public contract. Any such employer who fails to comply with these provisions shall be debarred from contracting with any agency of the Commonwealth for a period up to one year. Such debarment shall cease upon the employer's registration and participation in the E-Verify program. If requested, the employer shall present a copy of their Maintain Company page from E-Verify to prove that they are enrolled in E-Verify.

H. LATE PROPOSALS: To be considered for selection, proposals must be received in the issuing office by the designated date and hour. The official time used in the receipt of proposals is that time on the

automatic time stamp machine in the issuing office. Proposals received in the issuing office after the date and hour designated are automatically disqualified and will not be considered. The University is not responsible for delays in the delivery of mail by the U.S. Postal Service, private couriers, or the intradepartmental University mail system. It is the sole responsibility of the Offeror to insure that its proposal reaches the issuing office by the designated date and hour.

I. PRICE ESCALATION/DE-ESCALATION:

- a. Price adjustments may be permitted for changes in the contractor's cost of materials. No price increases will be authorized for one hundred and twenty (120) calendar days after the effective date of the contract. Price escalation may be permitted only at the end of this period and each sixty (60) days thereafter and only where verified to the satisfaction of the Procurement office. However, "across the board" price decreases are subject to implementation at any time and shall be immediately conveyed to the University.
- b. Contractor shall give not less than thirty (30) days advance notice of any price increase to the Procurement office. Any approved price changes will be effective only at the beginning of the calendar month following the end of the full thirty (30) day notification period. The contractor shall document the amount and proposed effective date of any general change in the price of materials. Documentation shall be supplied with the contractor's request for increase which will:
 - i. Verify that the requested price increase is general in scope and not applicable just to the University
 - ii. Verify the amount or percentage of increase which is being passed on to the contractor by the contractor's suppliers.
- c. The Procurement office will notify the using agencies and contractor in writing of the effective date of any increase which it approves. However, the contractor shall fill all purchase orders received prior to the effective date of the price adjustment at the old contract prices. The contractor is further advised that decreases which affect the cost of materials are required to be communicated immediately to the Procurement office.

J. PRIME CONTRACTOR RESPONSIBILITIES: The contractor shall be responsible for completely supervising and directing the work under this contract and all subcontractors that he may utilize, using his best skill and attention. Subcontractors who perform work under this contract shall be responsible to the prime contractor. The contractor agrees that he is as fully responsible for the acts and omissions of his subcontractors and of persons employed by them as he is for the acts and omissions of his own employees.

K. RENEWAL OF CONTRACT: This contract may be renewed by the University for five (5) successive one year periods under the terms and conditions of the original contract. Price increases may be negotiated only at the time of renewal. Written notice of the University's intention to renew shall be given approximately ninety (90) days prior to the expiration date of each contract period.

L. SMALL BUSINESS SUBCONTRACTING AND EVIDENCE OF COMPLIANCE:

1. It is the goal of the Commonwealth that 42% of its purchases be made from small businesses. This includes discretionary spending in prime contracts and subcontracts. All potential bidders/offerors are required to submit a Small Business Subcontracting Plan. Unless the bidder/offeror is registered as a DSBSD-certified small business and where it is practicable for any portion of the awarded contract to be subcontracted to other suppliers, the contractor is encouraged to offer such subcontracting opportunities to DSBSD-certified small businesses. This shall not exclude DSBSD-certified women-owned and minority-owned businesses when they have received DSBSD small business certification. No bidder/offeror

or subcontractor shall be considered a Small Business, a Women-Owned Business or a Minority-Owned Business unless certified as such by the Department of Small Business and Supplier Diversity (DSBSD) by the due date for receipt of bids or proposals. If small business subcontractors are used, the prime contractor agrees to report the use of small business subcontractors by providing the Procurement office at a minimum the following information: name of small business with the DSBSD certification number, phone number, total dollar amount subcontracted, category type (small, women-owned, or minority-owned), and type of product/service provided.

2. Each prime contractor who wins an award in which provision of a small business subcontracting plan is a condition of the award, shall deliver to the contracting agency or institution on a monthly basis, evidence of compliance (subject only to insubstantial shortfalls and to shortfalls arising from subcontractor default) with the small business subcontracting plan. When such business has been subcontracted to these firms and upon completion of the contract, the contractor agrees to furnish the Procurement office at a minimum the following information:
 1. Name of firm with the DSBSD certification number
 2. Phone number
 3. Total dollar amount subcontracted
 4. Category type (small, women-owned, or minority-owned)
 5. Type of product or service provided

Payment(s) may be withheld until compliance with the plan is received and confirmed by the agency or institution. The agency or institution reserves the right to pursue other appropriate remedies to include, but not be limited to, termination for default.

3. Each prime contractor who wins an award valued over \$200,000 shall deliver to the contracting agency or institution on a monthly basis, information on use of subcontractors that are not DSBSD-certified small businesses. When such business has been subcontracted to these firms and upon completion of the contract, the contractor agrees to furnish the Procurement office at a minimum the following information: name of firm, phone number, total dollar amount subcontracted, and type of product or service provided.

M. STANDARDS OF CONDUCT IN THE WORKPLACE: The University of Mary Washington, an agency of the Commonwealth of Virginia, strictly forbids harassment of any employee, applicant for employment, vendor, contractor or volunteer in the workplace, on the basis of an individual's race, sex, color, national origin, religion, sexual orientation, age, veteran status, political affiliation or disability. The Commonwealth will not tolerate any form of retaliation directed against an employee or third party who either complains about harassment or who participates in any investigation concerning harassment.

The Commonwealth expressly prohibits workplace violence. Prohibited conduct includes but is not limited to:

1. Injuring another person physically;
2. Engaging in behavior that creates a reasonable fear of injury to another person;
3. Engaging in behavior that subjects another individual to extreme emotional distress;
4. Possessing, brandishing, or using a weapon that is not required by the individual's position while on state premises or engaged in state business;
5. Intentionally damaging property;
6. Threatening to injure an individual or to damage property;

7. Committing injurious acts motivated by, or related to, domestic violence or sexual harassment; and
 8. Retaliating against any employee who, in good faith, reports a violation of this policy
- Violations of the above standards of conduct may result in requests for apparent offenders to temporarily or permanently leave the workplace.

Definitions:

1. Workplace: Any location, either permanent or temporary, where an employee or third party performs any work-related duty. This includes, but is not limited to, the buildings and the surrounding perimeters, including the parking lots, field locations, alternate work locations, and travel to and from work assignments.
2. Third parties: Individuals who are not state employees, but who have business interactions with state employees. Such individuals include, but are not limited to:
 - a. Customers, including applicants for state employment or services
 - b. Vendors
 - c. Contractors
 - d. Volunteers
 - e. Relatives
 - f. Unknown parties
3. Workplace Violence: Any physical assault, threatening behavior or verbal abuse occurring in the workplace by employees or third parties. It includes, but is not limited to, beating, stabbing, suicide, shooting, rape, attempted suicide, psychological trauma such as threats, obscene phone calls, an intimidating presence, and harassment of any nature such as stalking, shouting or swearing.

Pursuant to the authority provided in Chapter 10 and 12, Title 2.2 of the Code of Virginia

XI. METHOD OF PAYMENT: The contractor shall be paid using one of the following three (3) methods for all University initiated procurements:

1. Small Purchase Charge Card (SPCC): At the time of verified receipt of goods or services, if the Contractor accepts credit cards in payment, the University will authorize payment by SPCC, currently Bank of America Visa. Any "Check-out fees" imposed by the contractor must be disclosed prior to the purchase and shall be detailed in a separate line item on the receipt at point of sale. No check-out fee or surcharge may be greater than 4% of the total sale. *If the contractor's eVA profile indicates acceptance of a credit card in payment, the Commonwealth will pay via charge card for invoices \$50,000.00 or less.*
2. ePayables through Bank of America: All payments under ePayables will have a net 16 payment term. For more information about this payment option, contact UMW's Accounts Payables department at payables@umw.edu or view <http://www.bankofamerica.com/epayablesvendors>.
3. Check or ACH: Payment will be made 30 days after satisfactory performance of the contract in all provisions thereof and upon receipt of a properly completed invoice, whichever is later; in accordance with the Virginia Prompt Payment Act. Ref.: Code of Virginia, Sections 11-62.1 through 11-62.9; "Prompt Payment Act" memorandum issued by the Office of the Comptroller, June 27, 1984.

To be considered eligible for payment, **all invoices must be received at the following address should reference the eVA purchase order and UMW contract numbers:**

University of Mary Washington

Attention: Accounts Payable

1301 College Avenue

Fredericksburg, VA 22401

ATTACHMENT A

COST PROPOSAL

MUST BE COMPLETED AND RETURNED WITH PROPOSAL PACKAGE

The Contractor agrees to provide the services, to include all labor, services and materials, in compliance with the statement of need and all terms and conditions of this Sealed Request for Proposals, at the following prices:

SERVICES	COST PER HOUR
Banner Financial Aid Consultant Services (A)	\$
Travel Expenses (B)	\$
Additional Services (describe)	\$

Evaluation for Cost will be based on:

Banner Financial Aid Consultant Services Cost per hour (A) x 40 hours + Travel Expenses per hour (B) x 8 hours

A + B = _____

Any travel costs must adhere to Virginia state travel guidelines found here:

http://www.doa.virginia.gov/Admin_Services/CAPP/CAPP_Topics/20335.pdf

ATTACHMENT B

SMALL BUSINESS SUBCONTRACTING PLAN
MUST BE COMPLETED AND RETURNED WITH BID OR PROPOSAL PACKAGE

All small businesses must be certified by the Commonwealth of Virginia, Department of Small Business and Supplier Diversity (DSBSD) by the due date of the solicitation to participate in the SWaM program. Certification applications are available through DSBSD online at <http://sbsd.virginia.gov>.

DEFINITIONS:

"Small business" means a business independently owned and controlled by one or more individuals who are U.S. citizens or legal resident aliens, and together with affiliates, has 250 or fewer employees, or average annual gross receipts of \$10 million or less averaged over the previous three years. One or more of the individual owners shall control both the management and daily business operations of the small business. *Note: DSBSD-certified women- and minority-owned businesses shall also be considered small businesses when they have received DSBSD small business certification. (Code of Virginia, § 2.2-4310)*

"Woman-owned business" means a business that is at least 51% owned by one or more women who are U.S. citizens or legal resident aliens, or in the case of a corporation, partnership, or limited liability company or other entity, at least 51% of the equity ownership interest is owned by one or more women who are U.S. citizens or legal resident aliens, and both the management and daily business operations are controlled by one or more women. (Code of Virginia, § 2.2-4310)

"Minority-owned business" means a business that is at least 51% owned by one or more minority individuals who are U.S. citizens or legal resident aliens, or in the case of a corporation, partnership or limited liability company or other entity, at least 51% of the equity ownership interest in the corporation, partnership, or limited liability company or other entity is owned by one or more minority individuals who are U.S. citizens or legal resident aliens, and both the management and daily business operations are controlled by one or more minority individuals. (Code of Virginia, § 2.2-4310)

Bidder Name: _____

Preparer Name: _____ Date: _____

INSTRUCTIONS:

- A. If you are certified by the Department of Small Business and Supplier Diversity (DSBSD) as a small business, complete only Section A of this form. This shall not exclude DSBSD-certified women-owned and minority-owned businesses when they have received DSBSD small business certification.
- B. If you are not a DSBSD-certified small business, complete Section B of this form. For the bid to be considered and the bidder to be declared responsive, the bidder shall identify the portions of the contract that will be subcontracted to DSBSD-certified small business in Section B.

ATTACHMENT B (CONT'D)

Section A

If you are certified by the Department of Small Business and Supplier Diversity (DSBSD), are you certified as a:

Check Only One: Small Business Small and Woman-Owned Business Small and Minority-Owned Business

DSBSD Certification No.: _____ Expiration Date: _____

Section B

Populate the table below to show your plans for utilization of DSBSD-certified small businesses in the performance of this contract. This shall not exclude DSBSD-certified women-owned and minority-owned businesses that have received the DSBSD small business certification. Include plans to utilize small businesses as part of joint ventures, partnerships, subcontractors, suppliers, etc.

Plans for Utilization of DSBSD-Certified Small Businesses for this Procurement

Small Business Name, Address & DSBSD Cert No.	Indicate if also: Women (W) or Minority (M) Certified	Contact Person, Telephone & Email	Type of Goods and/or Services	Planned Involvement During Initial Period of the Contract (%)	Planned Contract Dollars During Initial Period of the Contract (\$)
Total Planned Subcontracting Spend (\$)					

ATTACHMENT C

SWAM INITIATIVE

VP FOR ADMINISTRATION & FINANCE AND CFO SWAM SUPPORT LETTER

Greetings:

The quality of service the University of Mary Washington is able to deliver to its customers is directly related to the excellent support we receive from you and many other outstanding suppliers of goods and services. Without you, we would not be able to fulfill our educational mission. An important part of our procurement program involves our commitment to doing business with small, women-owned and minority-owned (SWaM) businesses. We look to you to help us achieve this objective.

We conduct substantial business with small firms and have a particular institutional focus on developing long-term business relationships with women-owned and minority-owned businesses. We count on our majority firms to help us achieve our goal.

I seek your assistance in two areas. First, I ask that you involve small, women-owned and minority-owned businesses in the delivery of goods/services you provide to UMW. The Procurement Services office is able to assist you in identifying qualified diverse business partners. Second, I seek your help in reporting your results through monthly/quarterly subcontracting reports. The terms and conditions previously provided to your organization outlined this process.

As a state agency, this effort is important to us. This is another way that UMW can partner with your company to make things better.

A SWaM reporting template is located on our Procurement Services website at <http://adminfinance.umw.edu/procurement/vendors-2/swam-reporting>.

Sincerely,



Richard R. Pearce

Vice President for Administration and Finance and CFO

ATTACHMENT D

SWaM SUBCONTRACTOR SPEND REPORTING
FORM LOCATED ON PROCUREMENT SERVICES WEBSITE

<http://adminfinance.umw.edu/procurement/vendors-2/swam-reporting/>

Business Services

Procurement Services

Technology Purchases Current Bids & Proposals Vendors Green Purchasing **SWaM Reporting**

Central Storeroom/Surplus
Contracts
Laws, Policies and Procedures
Forms
Training
Small Purchase Credit Card
Directions and Maps

You are here: Home / Vendors

SWaM Reporting

SWaM Subcontractor Reporting

The University of Mary Washington, a public agency in the Commonwealth of Virginia, is required to report all small business spend, including the spend of its vendors. The importance is also placed on utilizing local woman-owned and minority-owned businesses to procure goods and services for the university. UMW's goal is to have a total SWaM (small, woman-owned and minority-owned) spend of 5% of its total procurement spend.

Vendor Resources
Vendor Policies and Guidelines
Vendor Registration Requirements
SWaM Reporting
Vendor Survey

Virginia's Total e-Procurement Solution!

SWaM Subcontractor Reporting

This form should be used by vendors to report their Small, Woman-owned and Minority-owned (SWaM) business spend.

Purchasing Dates and Deadlines

July 2013

M	T	W	T	F	S	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

Vendor *
Please enter the name of the COMPANY

Contract Number
Please enter the CONTRACT NUMBER

Name *
First Last
Please enter the SUBMITTER'S first and last name

Email *
Please enter the SUBMITTER'S email address

Select Reporting Method *

- Upload Spreadsheet/Document
- Manual Input

Additional Comments/Information
Please provide any relevant comments or information

Captcha

chromate minglan

Type the text

Privacy & Terms

reCAPTCHA™ stop spam, read books.

Type in info for each sub

Upload document – Excel or Word Only