



Kay Ivey
Governor

Alabama State Board of Licensure for Professional Engineers and Land Surveyors

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October 4, 2018

Request for Proposal

I. INTRODUCTION

This document constitutes a Request for Proposal (RFP) and is an invitation for competitive bids to provide a web-based Licensing Management System (LMS) for the Alabama Board of Licensure for Professional Engineers and Land Surveyors (herein after referred to as Board) in accordance to State Code Section 41-16-70 through 41-16-79. This RFP describes the minimum requirements for the development and administration of the LMS.

II. GENERAL INFORMATION

A. SCOPE OF WORK

The intent of the Board is to acquire a customizable LMS to fit its licensing structure; and enable it to manage all aspects of licensing of those whom it regulates.

B. All proposals should be emailed to rick.huett@bels.alabama.gov on or before 4:00 pm CST on December 20, 2018 with the subject line LMS PROPOSAL.

C. QUESTIONS CONCERNING THE RFP

Questions may be sent to:

Rick Huett
Executive Director
Email: rick.huett@bels.alabama.gov

III. SPECIFICATIONS

A. ORGANIZATION INFORMATION

Provide Full Company or corporate name, physical address of the headquarters office and the office(s) that will serve the board.

- Provide at least three individual's contact information for agencies currently using a version of the Vendor's LMS, preferably similar in structure to the Board.

B. FEE PROPOSAL

The proposal should include at least two types of payment processes.

1. Capital outlay with large portion of purchase price paid at implementation with monthly or annual maintenance and hosting fees.
2. Monthly payment plan that include all fees (Hosting, Maintenance, etc.)

The proposal must take into account the following:

- Staff Training
- Relevant Documentation
- Data Conversion
- Customization
- Testing
- Implementation
- Fee for hosting the implemented solution, if Board desires to do so.
- Payment Gateway processing
- Annual maintenance
- Any on-going fees

Vendor must assign a full time, direct point of contact for the LMS. Vendor must cover travel and all related costs for the project not included in the contract.

Payment is due upon full accepted implementation of a fully functional and tested LMS, with terms to be negotiated through a contract between the parties.

Vendor must specify two proposal options for enhancements and modifications to the delivered LMS after the initial contract is fulfilled:

- Hourly rate
- Monthly rate

C. LMS SCHEDULE

- LMS must be live by September 1, 2019, in time for testing of license renewal processing with renewals beginning October 1, 2019.
- Vendor must provide a proposed project plan with timeline to comply with the go-live date above.

D. LMS REQUIREMENTS

This section lists the functional requirement expected to be satisfied by LMS. Since evaluation is subjective, Vendors are encouraged to provide very specific details. A more detailed list of all necessary functions is attached.

1. General

- LMS must meet the State of Alabama Office of Information Technology (OIT) requirements in Policy 560-01 Cloud Storage Hosting, and any other policy requirements relating to the storage and management of data.
- LMS must meet the Board's requirements and be configurable for future needs.
- LMS must be developed in Microsoft technologies utilizing SQL. All the required functionalities should be carried out by the Vendor's software and not depend on third party components.
- Vendor must import current data to the new LMS and other Host storage servers (if Board so desires).
- Vendor must provide onsite training to the Board's staff on using the system as well as system administration.
- LMS must be very secure and have security levels including but not limited to user types, user groups, and read-only access. LMS must comply with information protection requirements outlined in OIT Policy 681-00 Information Protection.
- LMS must provide various search mechanisms including like search and multiple parameter search.
- LMS must support various means of data input and output. This includes input and output using PDF and Excel files.
- LMS must allow various printing mechanisms, including but not limited to, batch printing and individual printing.
- LMS must allow various types of notifications and alerts. This includes communication among office staff as well as licensees.
- LMS must be capable of integrating (API) with other agencies that provide files to the Board. For example, the providing of exam scores by the National Council of Examiners for Engineering and Surveying, transmission of data to OIT hosted server, and Merchant Account for processing of monetary transactions.
- Capability to send mass emails.

2. Licensing

For the licensing division, the LMS should provide the following functionalities, including but not limited to:

- Application processing
- Renewal processing
- License history
- License personal demographics (Name, multiple addresses, age)
- Alabama Citizenship/Immigration status
- Letters, certificates, and cards
- Interactive (graphical or multi-screen) options to perform complicated transactions such as combining duplicate records
- Notifications and alerts to licensees and to staff members
- Upload and retrieve application related documents
- Licensing information will be added to the Board's monthly agenda used by staff and board members during monthly meeting
- Multiple licenses issued to one individual.

3. Accounting

For the accounting division, the LMS should provide the following functionalities, including but not limited to:

- Real time transaction updates
- History of all transactions
- Daily deposit reports (to include by individual)
- Capability to void transactions
- Capability to transfer transactions

4. Investigations

For the investigative division, the LMS should provide the following functionalities, including but not limited to:

- Creating and assigning cases
- Track a case through all the states in the process
- Investigation
- Notifications and alerts to respondent's and staff members
- Create letters, consent orders, and other documents
- Upload and retrieve case related documents
- Track schedules for hearings or board interviews
- Monitor compliance with disciplinary orders and license restriction periods.

5. Administration

For the administration division, the LMS should provide the following functionalities, including but not limited to:

- Ability to add users to the system
- Assign user permission to each user. Since the Board deals with confidential data, not every user must have access to every component.
- Perform basic system maintenance and enhancement activities on screen
- Built in reports
- Capability to create new reports
- Capability to create new letters, documents, and certificates
- Ability to save queries and reports

6. Online Services

For the online services division, the LMS should provide the following functionalities, including but not limited to:

- Online license renewals for all license types.
- All online applications with payments must have integrated credit and debit card processing.
- The Board must have access to online payments.
- Applicants must be able to print and email their receipts/applications real-time from the online services.
- Allow individuals to login to system to pay renewal fees, submit additional applications, review and list continuing education activities, review PDH carryforward hours, etc. Have the capability for the listed continuing education activities to populate during the renewal process.
- Online services must interact with the LMS real-time, including posting payments to the licensee's account
- Allow online license verification by the public, employers, and licensees to include the ability to download a file (Excel, PDF) of licensee and firm public information.
- Single Vendor preferred to be responsible for LMS and online renewals.

IV. OTHER CONSIDERATIONS

A. RIGHT TO QUESTION

The Board reserves the right to question any response that is unclear to it. However, the Board is not under any obligation to seek additional information for incomplete answers.

B. RIGHT TO REJECT ALL PROPOSALS

The Board may, at any time and at its sole discretion and without penalty, reject any and all bids or terminate the RFP process. The Board may later choose to

reissue the RFP with any modifications it deems appropriate.

The following documents related to the requirements contained in the RFP can be found on the Board's website at: www.bels.alabama.gov

BELS Licensing System Requirements
OIT Policy 560 Cloud Storage Services
OIT Policy 681-00 Information Protection

**ALABAMA BOARD OF PROFESSIONAL ENGINEERS AND LAND SURVEYORS
LICENSING AND ENFORCEMENT DATABASE SYSTEM REQUIREMENTS**

100.00 General Requirements

- 100.01 System must internet based using current technologies
- 100.02 System application and renewal processes must support online submissions as well as paper based submissions
- 100.03 System must utilize Alabama Interactive (or other) Merchant Account payment gateway for all online payment processing activities.
- 100.04 System must support data model whereby individuals, companies, and addresses can be utilized across the various functionalities within the system. Individuals and companies must be able to input once and utilized throughout the system.
- 100.05 System must support extensive search features to locate quickly licenses, certificates, individuals, companies, investigations, and actions.
- 100.06 System must assist with reducing opportunities for duplicate entry of individuals and companies validating data entry prior to updating the database.
- 100.07 System must protect Personally Identifiable Information (PII)
- 100.08 System must utilize workflow functionality to ensure consistency of processes where appropriate.
- 100.09 System must meet Alabama Office of Information Technology (OIT) requirements and interface with data stored on OIT servers.

200.00 General Licensing Requirements - Individuals

- 200.01 System must support individual name changes and maintain previous name history in an easily accessible location related to the individual.
- 200.02 System must maintain key personal information such as telephone, date of birth, Email Address, and SSN.
- 200.03 System must maintain address information for applicants and licensees. (historical, autocorrect?)
- 200.04 System must maintain business address for licensees. (historical?)
- 200.05 System should protect Personal Identifying Information (PII).
- 200.06 System must allow for recording demographic information relating to individuals (US citizen, etc.)
- 200.07 System must provide data model to support retention of education details (college, degree(s), curriculum, degree year, etc)
- 200.08 System must provide data model to support retention of continuing education courses taken and related details (credit hours, course name, etc)
- 200.09 System should allow for remarks (free form text) be created and related to the individual. Remarks should contain date created as well as the user name that created the remark. (Historical)
- 200.10 System must provide data model to support retention of test scores and related details (test title, test date, test score, etc.)
- 200.11 System should provide automated download facility of test scores if available.
- 200.12 System must provide data model to support retention of license issuance and status history, including license type, license issue date, initial or renewal, ect.
- 200.13 System must support life license cycle, including application phase, conversion of application to licensee, address changes and names changes, revocation, lapses, and terminations.
- 200.14 System must maintain current license status (ACTIVE, INACTIVE, EXPIRED, ect) Add capability to color code status) Currently in STAR notes.
- 200.15 System must support license renewal cycles of one (1) year, two (2) years, or none (non-renewing license).
- 200.16 System must provide workflow capabilities to ensure licensure requirements have been met prior to issuing a license.
- 200.17 System must interact with enforcement elements within the system to ensure initial applications as well as renewals are aware of potential enforcement issues with the individual being licensed.
- 200.18 System should provide a checklist capability that allows for consistent processing steps to be followed during the initial application process.
- 200.19 System should provide a means to see history of revenue received from the individual applicant/licensee.
- 200.20 System should allow for editing of key data fields by system users with appropriate security permissions.
- 200.21 System must support multiple license types for a given licensee.
- 200.22 Imported applicant information should be merged to a printable type document (application) that resembles current application.
- 200.23 Applicant must be able to upload documents with application.
- 200.24 Ability to merge EI and PE records.
- 200.25 System must have the capability for licensees to view and print information including fees paid.

200-26 System must have capability to identify license discipline if needed.

225.00 Continuing Education Requirements

225.01 System must allow listing and/or file uploading for reporting of pdh activities during renewal process.

225.02 System must allow individuals to login and report pdh activities when earned and then populate information into renewal process.

225.03 System must be capable of randomly selecting individuals for audit of their reported continuing education activities.

225.04 System must allow selection and display of PDH Exemption details.

250.00 General Certificate Requirements - Companies

250.01 System must support company name changes and maintain previous name history in an easily accessible location related to the company.

250.02

System must maintain key company information such as telephone numbers, contact name, business structure, domicile location, [federal tax id](#) , [state tax id](#),and legal name.

250.03 System must maintain physical address and mailing address for certificate holders and certificate applications.

250.04 System should allow for remarks (free form text) to be created and related to the company certificate/application record. Remarks should contain date created as well as the user name that created the remark.

250.05

System must support certificate life cycle, including application phase, conversion of application to licensee, address changes and names changes, revocation, lapses, and termination.

250.06 System must support and retain application details and link those details to certificate records.

250.07 System must provide data model to support retention of license issuance history, including license type, license issue date, initial or renewal, ect. **(and status)**

250.08 System must maintain current certificate status (ACTIVE, INACTIVE, EXPIRED, etc,)

250.09 System must support relationships of licensees to certificate. (Managing Agent - PE), Managing Agent - PLS), Branch Responsible - PE, Branch Responsible -PLS as well as Related Company. (to include email addresses)

250.10 System should provide link from certificate relationship to related entity or related company.

250.11 System must support multiple certificate types (ECA,LSCA) for a given certificate holder.

250.12 System must support license renewal cycles of per certificate holder regulations.

250.13 System must provide workflow capabilities to ensure certificate requirements have been met prior to issuing a certificate.

250.14

System must interact with enforcement elements within the system to ensure initial applications as well as renewals are aware of potential enforcement issues with the company.

250.15 System should provide a checklist capability that allows for consistent processing steps to be followed during the initial application process.

250.16 System should provide a means to see history of revenue received from the individual applicant/certificate holder.

250.17 System should allow for editing of key data fields by system users with appropriate security permissions.

250.18 System must support multiple certificates types for a given company.

250.19 Capability to upload documents (list of officers, etc)

250-20 Imported applicant information should be able to be merged to a printable type document (application) that resembles current application.

250.21 Applicant must be able to upload documents with application.

250-22 Extend field length for Business names

250.23 System must have capability to mass convert certificate status (Example - "active" to "lapsed")

300.00 Revenue Tracking

300.01 System must allow for fees to be calculated based on license and certificate types.

300.02 System must allow for calculation of late payment fees based on date calculation.

300.03 System must allow for flat rate fee calculations.

300.04 System must allow for separation of duties relating to funds deposing and funds application to meet state auditing rules.

300.05 System must allow for application of funds to an outstanding invoice.

- 300.06 System must allow for creation of outstanding invoice.
- 300.07 System must allow for payment and invoices to be related to individual, entity,
- 300.08 System must allow for capturing revenue by license and certificates types.
- 300.09 System must allow for capturing revenue associated with enforcement cases.
- 300.09 System must allow for capturing revenue by activity (applications, renewals, fines, ect.)
- 300.10 System must allow for capturing revenue by depository accounts.
- 300.11 System must allow for accepting payments through the public facing web portal.
- 300.12 System must allow for reconciling online payments with online depository records.
- 300.13 System must allow for batching of funds received by date range for depository purposes.

400.00 Public Facing Web Portal

- 400.01 System must support both logged in (known) users as well as non logged in (unknown) users
- 400.02 System must allow for license and certificate searches (to include batch searches)
- 400.03 System must allow logged in users to manage their licenses or certificates. Management to include new license/certificate applications process, renewal processing for licenses and certificates, name change amendment process, and address change amendment process and to print paid fees.
- 400.04 System must allow for processing of electronic payments via Alabama Interactive payment gateway or other approved payment processing vendor.
- 400.05 System must allow logged in users to upload electronic documents that can be related to the license/certificate and complaint processes.
- 400.06 System must support submission of complaints that can be routed to specific queues.
- 400.07 System should allow for business logic to prevent logged in users to renew licenses/certificates when outstanding issues/items are unresolved.
- 400.08 System must allow for real time database updates following self service options such as renewals, names changes, address changes, etc.
- 400.09 System must allow Public to export licensee search results to excel, pdf, etc.
- 400.10 System must allow searches by license number, license type, city, state, zip code, etc.

500.00 System User Access

- 500.01 System must allow system users to be created and maintained
- 500.02 System must allow metadata to be associated with system users, such as full name, email address, etc.
- 500.03 System must allow system roles to be created and maintained
- 500.04 System must allow system users to be related to system roles
- 500.05 System must use roles to grant and restrict access to data elements and functionality within the system.

600.00 Document management

- 600.01 System must have the ability to import electronic documents.
- 600.02 System must have the ability to relate imported electronic documents to individuals, entities, complaints, and other system objects where appropriate.
- 600.03 System must have the ability to view electronic documents in their native application.
- 600.04 System must have ability to upload electronic documents via the online public facing web portal.
- 600.05 System may have ability for electronic document versioning
- 600.06 System may have ability for electronic document annotation
- 600.07 System may have ability for full text searching of electronic documents

700.00 Complaint Tracking

- 700.01 System must allow configurable case number.
- 700.02 System must allow meta data regarding case such as name, description, complaint date, location, oversight, percent complete, resolution
- 700.03 System must allow for workflow driven status indicator.

- 700.04 System must allow for staff assignments for oversight of complaint.
- 700.05 System must allow for user maintained complaint categories as complaint attribute.
- 700.06 System must allow for user maintained complaint phases as complaint attribute.
- 700.07 System must allow multiple respondents to a given complaint.
- 700.08 System must allow respondents to be selected from existing license/certificate holders or applicants.
- 700.09 System must allow unlicensed individuals and companies as respondents.
- 700.10 System must allow multiple complainants on a given complaint.
- 700.11 System must allow complainants to be selected from existing license/certificate holders or applicants.
- 700.12 System must allow complainants to individuals or companies from the general public.
- 700.13 System must allow multiple charges to be related to complaint.
- 700.14 System must allow changes to be selected from law and regulatory rules list maintained within system.
- 700.15 System must allow a status to associated with a charge
- 700.16 System must allow for free form text based notes (remarks) to related to a complaint.
- 700.17 System must allow for relating multiple hearings related to complaint.
- 700.18 System must allow for recording date, time, status, location, and description for each hearing.
- 700.19 System must allow for relating actions to a complaint.
- 700.20 System must allow for relating a charges to an action.
- 700.21 System must allow charges to be related to complaint respondent.
- 700.22 System must allow for user maintained charge types.
- 700.23 System must allow for metadata including action date, license type, status, action begin date, action end date, and board costs.
- 700.24 System must allow for fee recipient to designated on action.
- 700.25 System must allow for violation (rule) to be designated on action.
- 700.26 System must allow workflow communication (email, notification pop ups, etc.) between users

800.00 System Searching

- 800.01 System must allow for searching by license/certificate number
- 800.02 System must allow for searching by individual name
- 800.03 System must allow for searching by company name
- 800.04 System must allow for searching by file number
- 800.05 System must allow for searching by case name
- 800.06 System must allow for searching by case number

900.00 System Reporting

- 900.01 System must have ability to design and develop reports
- 900.02 System must have ability to save and share developed reports
- 900.03 System must have ability to set user security on reports
- 900.04 System must have at least ten (10) standard reports

950.00 System Interfaces

- 950.01 Merchant Account Payment Gateway
- 950.02 OIT Storage Servers
- 950.03 NCEES - Exam Results and Application

1000.00 Other

System have capability to send mass emails.



KAY IVEY
Governor

STATE OF ALABAMA

OFFICE OF INFORMATION TECHNOLOGY



JIM PURCELL
Acting Secretary

POLICY 560: Cloud Storage Services

VERSION NUMBER	Policy 560-01
VERSION DATE	August 10, 2018
POLICY TITLE	Cloud Storage Services
OBJECTIVE	The objective of this policy is to protect the confidentiality and integrity of state information stored and processed using cloud storage services.
AUTHORITY	<p>The authority of the Office of Information Technology (OIT) to create and enforce policies relating to the management and operation of information technology (IT) by state agencies, and exceptions to such authority, are derived from:</p> <p><i>Articles 8 and 11 of Chapter 4 of Title 41, and Chapter 28 of Title 41, Code of Alabama 1975 (Acts 2013-68 and 2017-282).</i></p> <p>Policies of the OIT are approved and signed by the Governor.</p>
APPLICABILITY	<p>The requirements and responsibilities defined in OIT policies apply to all departments, agencies, offices, boards, commissions, bureaus, and authorities (referred to generally as <i>agency</i> or <i>agencies</i>) and authorized individuals in the employment of the State of Alabama responsible for the management, operation, or use of state IT.</p> <p>This policy applies to email hosting, file hosting, and web-based collaborative services in a Software as a Service (SaaS) cloud computing model as defined in the National Institute of Standards and Technology (NIST) Special Publication 800-145: "The NIST Definition of Cloud Computing."</p> <p>This policy does not apply to the cloud computing models Platform as a Service (PaaS) or Infrastructure as a Service (IaaS) as defined in NIST Special Publication 800-145: "The NIST Definition of Cloud Computing."</p>

STATEMENT OF POLICY

Cloud storage services are valuable and advantageous resources that allow organizations to store large amounts of information and perform collaborative tasks more economically, effectively and efficiently. These services are ubiquitous, convenient, and provide on-demand access over a publicly accessible network. However, there are risks that must be mitigated to properly secure the data that is placed and processed in a cloud storage service.

It is the policy of the OIT that cloud storage services shall be limited to solutions that:

- Are licensed through a state contract
- Comply with applicable federal, state, and local laws
- Provide backup and recovery services
- Have licenses that are managed and administered by a State of Alabama agency IT division
- Offer geographical storage restrictions limited to the continental United States
- Allow the State of Alabama to maintain ownership of the data
- Have the technical means to integrate with data-loss prevention (DLP) capabilities

Information placed in a cloud storage service shall be monitored for unintended and unprotected disclosure. This includes but is not limited to information that falls under the following data classifications:

- U.S. Health Information
- U.S. Financial Information
- U.S. Personally Identifiable Information

In addition to these requirements, the decision to store data in a cloud environment shall be based on an assessment of risk, mitigation of risk (as practical), and documented acceptance by the data owner of the residual risk.

OIT RESPONSIBILITIES

The OIT's responsibilities are to:

- Establish policies and standards governing the security, confidentiality, integrity and availability of cloud storage services used for state business purposes.
- Offer and administer a compliant cloud storage service.
- Implement DLP monitoring in the OIT's cloud storage service.

AGENCY RESPONSIBILITIES

It is an agency's responsibility to enforce this policy within their agency. One agency may host access to a state cloud storage service for other agencies, in which case the hosting agency may share these responsibilities with the implementing agency.

Each agency shall ensure agency personnel follow established state policies and standards regarding use of cloud storage services.

Any agency managing and administering their own cloud storage service, or otherwise not utilizing the OIT's cloud storage service, shall implement DLP monitoring; as defined in Standard 560S1: Data Loss Prevention for Cloud Services.

USER RESPONSIBILITIES

Users shall adhere to all state and agency policies pertaining to the use of cloud storage services, and refrain from the use of personal cloud storage services for state business.

If sharing or collaborating on information in a cloud storage service, users shall routinely review the rights and permissions of the information to ensure the information is only shared with intended and authorized individuals.

If receiving information shared from an external source, users may access the information for retrieval purposes only, and shall notify their IT department.

SUPPORTING DOCUMENTS

The following documents support implementation of this policy:

- [Standard 560S1: Data Loss Prevention for Cloud Services](#)
- [Standard 560S2: System Security Standards for Office 365](#)
- [Standard 560S3: End-User Security Standards for Office 365](#)

The following special publications (SP) of the National Institute of Standards and Technology (NIST) support this policy and may aid in its implementation:

- NIST SP 800-144: Guidelines on Security and Privacy in Public Cloud Computing
- NIST SP 800-145: The NIST Definition of Cloud Computing
- NIST SP 500-291: NIST Cloud Computing Standards Roadmap

EFFECTIVE DATE This policy shall be effective upon its approval by the Secretary of Information Technology and the Governor of Alabama as evidenced by the signatures of the Secretary and Governor being affixed hereto.

SUPERSEDES This policy replaces Policy 340: Cloud-Based File Storage and Sharing, which is hereby rescinded.

The undersigned, as Acting Secretary of Information Technology of the State of Alabama, exercising the power vested in that Office by the laws of this state, declares this policy to be adopted as of the date on which the Governor has approved and signed it.



Jim Purcell
Acting Secretary of Information Technology

ORDERED



Kay Ivey
Governor

This 13 day of September, 2018.

DOCUMENT CHANGE HISTORY

Version	Version Date	Comments
560-01	08/10/2018	Initial version; replaces Policy 340

STATE OF ALABAMA

Information Technology Policy

POLICY 681-00: INFORMATION PROTECTION

All information is important but protecting all information to the same degree is inefficient and impractical. Information needs to be protected in accordance with established security objectives. Organizations should categorize all information and information system resources and protect accordingly to ensure the security objectives of confidentiality, integrity, and availability.

OBJECTIVE:

Establish the basis for assigning an appropriate level of security to the processing, storage, and transmission of State of Alabama information resources.

SCOPE:

This policy applies to all Executive Branch agencies, boards, and commissions except those exempt under The Code of Alabama 1975 (Title 41 Chapter 4 Article 11).

RESPONSIBILITIES:

Information Services Division (ISD):

- Specify in State Standards a minimum set of information categories and minimum protection requirements for each category
- Ensure appropriate levels of protection are applied to information and information system resources by developing standards and procedures for determining and implementing minimum security requirements based on the information protection category

Agency Management, Information Technology Organization:

- Define agency-specific information protection categories based on agency requirements and State standards
- Assist information owners with assessing the information protection category of their resources
- Communicate information protection requirements throughout agency and to all information custodians
- Audit to ensure compliance with State and agency policies, standards, and procedures

Information Owners shall:

- Assess information and information system resources, and assign the required information protection category
- Ensure information and information system resources are protected commensurate with their information protection category

Information Custodians shall:

- Ensure information and information system resources are protected in accordance with the information owner's agreed upon requirements

SUPPORTING DOCUMENTS:

- Information Technology Standard 681S1: Information Protection
- Information Technology Standard 681S2: Protecting Personally Identifiable Information
- Information Technology Standard 681S3: Media Sanitization

By Authority of Director, Information Services Division, Department of Finance

DOCUMENT HISTORY:

Version	Release Date	Comments
680-01	6/8/2006	Original document
681-00	09/01/2011	Replaces Policy 680-01; number and format change only

1900000050	Document Phase Final	Document Description RFP for a web-based Licensing Management System	Page 2 of 7
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GENERAL TERMS AND CONDITIONS FOR RFP FOR SERVICES v 7-9-15 rhc edit 7-28-15

GENERAL TERMS AND CONDITIONS FOR THIS REQUEST FOR PROPOSALS - All proposals are subject to these Terms and Conditions.

1. PROHIBITED CONTACTS; INQUIRIES REGARDING THIS RFP – *From the Release Date of this RFP until a contract is awarded, parties that intend to submit, or have submitted, a Proposal are prohibited from communicating with any members of the Soliciting Party’s Team for this transaction who may be identified herein or subsequent to the Release Date, or other employees or representatives of the Soliciting Party regarding this RFP or the underlying transaction except the designated contact(s) identified in {insert location in RFP where contacts are identified, such as Section S or Item 2.}*

Questions relating only to the RFP process may be submitted by telephone or by mail or hand delivery to: the designated contact. Questions on other subjects, seeking additional information and clarification, must be made in writing and submitted via email to the designated contact, sufficiently in advance of the deadline for delivery of Proposals to provide time to develop and publish an answer. A question received less than two full business days prior to the deadline may not be acknowledged. Questions and answers will be published to those parties submitting responsive proposals.

2. NONRESPONSIVE PROPOSALS - Any Proposal that does not satisfy requirements of the RFP may be deemed non-responsive and may be disregarded without evaluation. Clarification or supplemental information may be required from any Proposer.

3. CHANGES TO THE RFP; CHANGES TO THE SCHEDULE - The Soliciting Party reserves the right to change or interpret the RFP prior to the Proposal Due Date. Changes will be communicated to those parties receiving the RFP who have not informed the Soliciting Party’s designated contact that a Proposal will not be submitted. Changes to the deadline or other scheduled events may be made by the Soliciting Party as it deems to be in its best interest.

4. EXPENSES - Unless otherwise specified, the reimbursable expenses incurred by the service provider in the providing the solicited services, shall be charged at actual cost without mark-up, profit or administrative fee or charge. Only customary, necessary expenses in reasonable amounts will be reimbursable, to include copying (not to exceed 15 cents per page), printing, postage in excess of first class for the first one and one-half ounces, travel and preapproved consulting services. Cost of electronic legal research, cellular phone service, fax machines, long-distance telephone tolls, courier, food or beverages are not reimbursable expenses without prior authorization, which will not be granted in the absence of compelling facts that demonstrate a negative effect on the issuance of the bonds, if not authorized.

If pre-approved, in-state travel shall be reimbursed at the rate being paid to state employees on the date incurred. Necessary lodging expenses will be paid on the same per-diem basis as state employees are paid. Any other pre-approved travel expenses will be reimbursed on conditions and in amounts that will be declared by the Issuer when granting approval to travel. Issuer may require such documentation of expenses as it deems necessary.

5. REJECTION OF PROPOSALS - The Soliciting Party reserves the right to reject any and all proposals and cancel this Request if, in the exercise its sole discretion, it deems such action to be in its best interest.

6. EXPENSES OF PROPOSAL – The Soliciting Party will not compensate a Proposer for any expenses incurred in the preparation of a Proposal.

7. DISCLOSURE STATEMENT - A Proposal must include one original Disclosure Statement as required by Code Section 41-16-82, et seq., Code of Alabama 1975. Copies of

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the Disclosure Statement, and information, may be downloaded from the State of Alabama Attorney General's web site at <http://ago.alabama.gov/Page-Vendor-Disclosure-Statement-Information-and-Instructions>.

8. LEGISLATIVE CONTRACT REVIEW - Personal and professional services contracts with the State may be subject to review by the Contract Review Permanent Legislative Oversight Committee in accordance with Section 29-2-40, et seq., Code of Alabama 1975. The vendor is required to be knowledgeable of the provisions of that statute and the rules of the committee. These rules can be found at <http://www.legislature.state.al.us/aliswww/AlaLegJointIntCommContracReview.aspx>. If a

contract resulting from this RFP is to be submitted for review the service provider must provide the forms and documentation required for that process.

9. THE FINAL TERMS OF THE ENGAGEMENT - Issuance of this Request For Proposals in no way constitutes a commitment by the Soliciting Party to award a contract. The final terms of engagement for the service provider will be set out in a contract which will be effective upon its acceptance by the Soliciting Party as evidenced by the signature thereon of its authorized representative. Provisions of this Request For Proposals and the accepted Proposal may be incorporated into the terms of the engagement should the Issuer so dictate. Notice is hereby given that there are certain terms standard to commercial contracts in private sector use which the State is prevented by law or policy from accepting, including indemnification and holding harmless a party to a contract or third parties, consent to choice of law and venue other than the State of Alabama, methods of dispute resolution other than negotiation and mediation, waivers of subrogation and other rights against third parties, agreement to pay attorney's fees and expenses of litigation, and some provisions limiting damages payable by a vendor, including those limiting damages to the cost of goods or services.

10. BEASON-HAMMON ACT COMPLIANCE. A contract resulting from this RFP will include provisions for compliance with certain requirements of the *Beason-Hammon Alabama taxpayer and Citizen Protection Act* (Act 2011-535, as amended by Act 2012-491 and codified as Sections 31-13-1 through 35, Code of Alabama, 1975, as amended), as follows:

E- VERIFY ENROLLMENT DOCUMENTATION AND PARTICIPATION. As required by Section 31-13-9(b), Code of Alabama, 1975, as amended, Contractor that is a "business entity" or "employer" as defined in Code Section 31-13-3, will enroll in the E-Verify Program administered by the United States Department of Homeland Security, will provide a copy of its Memorandum of Agreement with the United States Department of Homeland Security that program and will use that program for the duration of this contract.

CONTRACT PROVISION MANDATED BY SECTION 31-13-9(k):

By signing this contract, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.