REQUEST FOR PROPOSALS (RFP)

Retention
University of Maine System

RFP # 22-14

ISSUE DATE:
March 17, 2014

PROPOSALS MUST BE RECEIVED BY:
April 15, 2014

DELIVER PROPOSALS TO:

University of Maine System
Office of Strategic Procurement
Attn: Hal Wells
16 Central Street
Bangor, ME 04401
SECTION ONE

1.0 GENERAL INFORMATION:

1.1 Purpose: The University of Maine System is seeking proposals for the provision of a comprehensive student retention solution that would systematically identify at-risk students and provide the infrastructure for managing campus-wide outreach, allowing for immediate support and critical intervention to impact student outcomes.

This Request for Proposals (RFP) states the instructions for submitting proposals, the procedure and criteria by which a vendor may be selected and the contractual terms by which the University intends to govern the relationship between it and the selected vendor.

1.2 Definition of Parties: The University of Maine System will hereinafter be referred to as the "University." Respondents to the RFP shall be referred to as "Bidder(s)" or "bidder(s)". The Bidder to whom the Contract is awarded shall be referred to as the "Contractor."

1.3 University Background: The University of Maine System (UMS) is the state's largest educational enterprise with an annual enrollment of nearly 40,000 students. The System features seven universities, some with multiple locations throughout the state. For this project, a minimum of three of our seven universities will participate initially. Those three institutions are described below; they are the University of Maine (UM or UMaine), the University of Southern Maine (USM), and the University of Maine at Presque Isle (UMPI). At any time one or more of our schools may make the decision to join in on this project. Due to the variation in size and complexity of our campuses we are seeking flexible and scalable solutions. Please see the 'Scalability' section below.

The University of Maine is the flagship research campus of the UMS, with an enrollment of 11,247 students. UMaine offers the state's most comprehensive academic experience, with more than 90 undergraduate majors and academic programs, 75 master's programs and 30 doctoral programs. The university serves traditional, non-traditional, and online student populations.

The University of Southern Maine is a comprehensive, regional, public university offering undergraduate and graduate degree programs as well as professional and continuing education courses. Princeton Review has cited USM as one of the Best Colleges in the Northeast and our AACSB-accredited business school as one of the best business schools. Our faculty are recognized nationally and have reached the highest credentials in their field, using their extensive knowledge and expertise to create an outstanding academic experience for our students. Our undergraduate students' total 7,407 and our Graduate students total 1,693. We have three campuses located in Portland, Gorham, and Lewiston, Maine and many of our courses and degree programs are offered online.

The University of Maine at Presque Isle, located in the heart of northern Maine, offers 25 undergraduate degrees in arts and sciences, education, and professional programs. Our mission is to design a personalized, technologically innovative education with every student and prepare each graduate to pursue a career, make global contributions, and engage in lifelong learning. Through our on-site and online programs, we serve a small diverse population (just under 1,400 students) including traditional and non-traditional students studying full time or part time, living on campus or commuting.

1.4 Scope and Goals: The student retention rate is often used as an indicator of student and institutional success, a combination of student satisfaction and positive educational outcomes.
Increasing the retention rate improves the University of Maine System’s (UMS) financial stability, as more students remain enrolled. It also elevates the prestige of our institutions, as the retention rate is used by various external ranking publications. In addition to having a tremendous impact on the UMS's fiscal health and public image, the retention rate is often the focus of public officials as a measure of institutional effectiveness, which in some states is used to determine levels of state support.

Our current retention efforts vary across institutions and include a number of early alert systems that receive input from faculty, staff, and the student information system, with uneven coordination of information and interventions within institutions, and little assessment on the effectiveness of retention initiatives.

The retention solution we seek will offer the following:

- The solution will support traditional, non-traditional, and online student populations.
- The solution is an intuitive and user-friendly tool that will increase and enhance the efficiencies, productivity, and capabilities of our functional users.
- Predictive algorithms and student surveys that are customizable by each campus.
- The solution should offer proactive initiatives, with seamless interactions for students, faculty, and staff that enable our institutions to achieve successful student outcomes.
- A tool that will easily facilitate collaboration across campus units/department/offices to ensure students are being supported by all necessary means in a timely manner.
- The solution will be capable of interfacing with other critical systems to maximize the use of available student information, and minimize the number of systems our students, staff, and faculty must engage with.
- Robust communication tools that allow our Universities to reach students in timely, modern, and convenient ways.
- Reports, dashboards, and analytics to support the needs of various stakeholders.

Our future vision is a student retention solution that is robust and scalable to meet the enterprise-wide needs of multiple campuses and University offices. Campus offices that could utilize the solution range from academic departments and student records, to financial aid, residence life, and student success.

The University will entertain both self-hosted and vendor-hosted proposals. The proposer shall specify which type of product is being proposed, and if offering both, proposer shall list the specifics separately for consideration.

Scalability: Of the three campuses who will participate initially, UM and USM are our largest campuses, and UMPI is one of our smallest. When we approach technology products as a System, it is often the case that the type of solutions our large campuses require to serve their diverse and complex needs are too complicated for our smaller campuses whose needs are simpler and who typically have fewer resources. While our preference is for a single solution that is scalable to meet the needs of both large and small institutions, we reserve the right to award contracts to one or multiple vendors. Proposals should highlight the scalability of solutions, including how pricing could be adjusted appropriately to reflect variations in use of the software.
Implementation Date: Our campuses seek to begin implementation as soon as possible with a preferred go live date of Fall 2014. This would enable us to align with the incoming class of 2014. Set up, implementation support, and technical and functional user training will be key to meeting the deadline.

1.5 Evaluation Criteria: Proposals will be evaluated on many criteria deemed to be in the University's best interests, including the requirements / preferences shown in Sections Three and Four including total cost.

1.6 Communication with the University: It is the responsibility of the bidder to inquire about any requirement of this RFP that is not understood. Responses to inquiries, if they change or clarify the RFP in a substantial manner, will be forwarded by addenda to all parties that have received a copy of the RFP. Addenda will also be posted on our web site, www.maine.edu/strategic/upcoming_bids.php. It is the responsibility of all bidders to check the web site before submitting a response to ensure that they have all pertinent documents. The University will not be bound by oral responses to inquiries or written responses other than addenda.

Inquiries must be made to: Hal Wells  
Office of Strategic Procurement  
University of Maine System  
16 Central Street  
Bangor, Maine 04401  
hcwells@maine.edu

The deadline for inquiries is March 31, 2014.  
The University will respond to written inquiries not later than close of business, April 3, 2014.

1.7 Award of Proposal: Presentations may be requested of two or more bidders deemed by the University to be the best suited among those submitting proposals on the basis of the selection criteria. After presentations have been conducted, the University may select the bidder(s) which, in its opinion, has made the proposal that is the most responsive and most responsible and may award the Contract to that/those bidder(s). While the University prefers a single solution that is scalable to meet the needs of both large and small institutions, it reserves the right to award contract(s) to one or multiple vendors. The University reserves the right to waive minor irregularities. Scholarships, donations, or gifts to the University, will not be considered in the evaluation of proposals. The University reserves the right to reject any or all proposals, in whole or in part, and is not necessarily bound to accept the lowest cost proposal if that proposal is contrary to the best interests of the University. The University may cancel this Request for Proposals or reject any or all proposals in whole or in part. Should the University determine in its sole discretion that only one bidder is fully qualified, or that one bidder is clearly more qualified than any other under consideration, a contract may be awarded to that bidder without further action.

1.8 Award Protest: Bidders may appeal the award decision by submitting a written protest to the University of Maine System's Chief Procurement Officer within five (5) business days of the date of the award notice, with a copy of the protest to the successful bidder. The protest must contain a statement of the basis for the challenge.

1.9 Confidentiality: The information contained in proposals submitted for the University's consideration will be held in confidence until all evaluations are concluded and a vendor selected (the successful bidder). At that time the University will issue bid award notice letters to all participating bidders and the successful bidder's proposal may be made available to
participating bidders upon request. After the protest period has passed and the contract is fully executed, the winning proposal will be available for public inspection. Pricing and other information that is an integral part of the offer cannot be considered confidential after an award has been made. The University will honor requests for confidentiality for information of a proprietary nature to the extent allowed by law. Clearly mark any information considered confidential.

The University must adhere to the provisions of the Maine Freedom of Access Act (FOAA), 1 MRSA §401 et seq. As a condition of accepting a contract under this section, a contractor must accept that, to the extent required by the Maine FOAA, responses to this solicitation, and any ensuing contractual documents, are considered public records and therefore are subject to freedom of access requests.

1.10 Costs of Preparation: Bidder assumes all costs of preparation of the proposal and any presentations necessary to the proposal process.

1.11 Debarment: Submission of a signed proposal in response to this solicitation is certification that your firm (or any subcontractor) is not currently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any State or Federal department or agency. Submission is also agreement that the University will be notified of any change in this status.

1.12 Proposal Understanding: By submitting a proposal, the bidder agrees and assures that the specifications are adequate, and the bidder accepts the terms and conditions herein. Any exceptions should be noted in your response.

1.13 Proposal Validity: Unless specified otherwise, all proposals shall be valid for ninety (90) days from the due date of the proposal.

1.14 Non-Responsive Proposals: The University will not consider non-responsive bids or proposals, i.e., those with material deficiencies, omissions, errors or inconsistencies.

1.15 Proposal Submission: A SIGNED original and one virus-free electronic copy (e.g., CD, thumb drive) must be submitted to the Office of Strategic Procurement, University of Maine System, 16 Central Street, Bangor, Maine 04401, in a sealed envelope by Tuesday, April 15, 2014, to be date stamped by the Office of Strategic Procurement in order to be considered. Normal business hours are 8:00 a.m. to 5:00 p.m., Monday through Friday. Bidders may wish to check http://www.maine.edu/alerts/ to determine if University operations have been suspended. Proposals received after the due date will be returned unopened. There will be no public opening of proposals (see Confidentiality clause). In the event of suspended University operations, proposals will be due the next business day. Vendors are strongly encouraged to submit proposals in advance of the due date to avoid the possibility of missing the due date because of unforeseen circumstances. Vendors assume the risk of the methods of dispatch chosen. The University assumes no responsibility for delays caused by any package or mail delivery service. Postmarking by the due date WILL NOT substitute for receipt of proposal. Additional time will not be granted to any single vendor, however additional time may be granted to all vendors when the University determines that circumstances require it. FAXED OR E-MAIL PROPOSALS WILL NOT BE ACCEPTED. The envelope must be clearly identified on the outside as follows:

Name of Bidder
Address of Bidder
Due Date
RFP #22-14
1.16 Authorization: Any contract or agreement for services that will, or may, result in the expenditure by the University of $50,000 or more must be approved in writing by the Director of Strategic Procurement and it is not approved, valid or effective until such written approval is granted.
SECTION TWO

2.0 GENERAL TERMS AND CONDITIONS:

2.1 Contract Administration: The Office of the Chief Information Officer or its designee shall be the University's authorized representative in all matters pertaining to the administration of this Contract.

2.2 Contract Documents: If a separate contract is not written, the Contract entered into by the parties shall consist of the RFP, the signed proposal submitted by the Contractor, the specifications including all modifications thereof, and a purchase order or letter of agreement requiring signatures of the University and the Contractor, all of which shall be referred to collectively as the Contract Documents.

2.3 Contract Modification and Amendment: The parties may adjust the specific terms of this Contract (except for pricing) where circumstances beyond the control of either party require modification or amendment. Any modification or amendment proposed by the Contractor must be in writing to the Contract Administrator. Any agreed upon modification or amendment must be in writing and signed by both parties.

2.4 Contract Term: The Contract term shall be for a period of three (3) years commencing upon the completion of implementation and acceptance by the University. With mutual written agreement of the parties this Contract may be extended for additional one to three year periods. The University will consider other contract terms at its discretion if proposed and in the best interest of the University.

2.5 Contract Data: The Contractor is required to provide the University with detailed data concerning the Contract at the completion of each contract year or at the request of the University at other times. The University reserves the right to audit the Contractor's records to verify the data.

2.6 Contract Validity: In the event one or more clauses of the Contract are declared invalid, void, unenforceable or illegal, that shall not affect the validity of the remaining portions of the Contract.

2.7 Non-Waiver of Defaults: Any failure of the University to enforce or require the strict keeping and performance of any of the terms and conditions of this Contract shall not constitute a waiver of such terms, conditions, or rights.

2.8 Cancellation/Termination: If the Contractor defaults in its agreement to provide personnel or equipment to the University's satisfaction, or in any other way fails to provide service in accordance with the contract terms, the University shall promptly notify the Contractor of such default and if adequate correction is not made within seventy-two (72) hours the University may take whatever action it deems necessary to provide alternate services and may, at its option, immediately cancel this Contract with written notice. Cancellation does not release the Contractor from its obligation to provide goods or services per the terms of the Contract during the notification period.

2.9 Employees: The Contractor shall employ only competent and satisfactory personnel and shall provide a sufficient number of employees to perform the required services efficiently and in a manner satisfactory to the University. If the Contract Administrator or designee, notifies the Contractor in writing that any person employed on this Contract is incompetent, disorderly, or otherwise unsatisfactory, such person shall not again be employed in the execution of this
2.10 Clarification of Responsibilities: If the Contractor needs clarification of or deviation from the terms of the Contract, it is the Contractor's responsibility to obtain written clarification or approval from the Contract Administrator.

2.11 Litigation: This Contract and the rights and obligations of the parties hereunder shall be governed by and construed in accordance with the laws of the State of Maine without reference to its conflicts of laws principles. The Contractor agrees that any litigation, action or proceeding arising out of this Contract, shall be instituted in a state court located in the State of Maine.

2.12 Assignment: Neither party of the Contract shall assign the Contract without the prior written consent of the other, nor shall the Contractor assign any money due or to become due without the prior written consent of the University.

2.13 Equal Opportunity: In the execution of the Contract, the Contractor and all subcontractors agree, consistent with University policy, not to discriminate on the grounds of race, color, religion, sex, sexual orientation, including transgender status or gender expression, national origin or citizenship status, age, disability, genetic information, or veteran's status and to provide reasonable accommodations to qualified individuals with disabilities upon request. The University encourages the employment of individuals with disabilities.

2.14 Independent Contractor: Whether the Contractor is a corporation, partnership, other legal entity, or an individual, the Contractor is an independent contractor. If the Contractor is an individual, the Contractor's duties will be performed with the understanding that the Contractor is a self-employed person, has special expertise as to the services which the Contractor is to perform and is customarily engaged in the independent performance of the same or similar services for others. The manner in which the services are performed shall be controlled by the Contractor; however, the nature of the services and the results to be achieved shall be specified by the University. The Contractor is not to be deemed an employee or agent of the University and has no authority to make any binding commitments or obligations on behalf of the University except as expressly provided herein. The University has prepared specific guidelines to be used for contractual agreements with individuals (not corporations or partnerships) who are not considered employees of the University.

2.15 Sexual Harassment: The University is committed to providing a positive environment for all students and staff. Sexual harassment, whether intentional or not, undermines the quality of this educational and working climate. The University thus has a legal and ethical responsibility to ensure that all students and employees can learn and work in an environment free of sexual harassment. Consistent with the state and federal law, this right to freedom from sexual harassment was defined as University policy by the Board of Trustees. Failure to comply with this policy could result in termination of this Contract without advanced notice. Further information regarding this policy is available from the Director of Equity and Diversity, (207) 973-3372.

2.16 Indemnification: The Contractor agrees to be responsible for, and to protect, save harmless, and indemnify the University and its employees from and against all loss, damage, cost and expense (including attorney's fees) suffered or sustained by the University or for which the University may be held or become liable by reason of injury (including death) to persons or property or other causes whatsoever, in connection with the operations of the Contractor or any subcontractor under this agreement.

2.17 Contractor's Liability Insurance: During the term of this agreement, the Contractor shall
maintain the following insurance:

<table>
<thead>
<tr>
<th>Insurance Type</th>
<th>Coverage Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Commercial General Liability</td>
<td>$1,000,000 per occurrence or more (Bodily Injury and Property Damage)</td>
</tr>
<tr>
<td>(Written on an Occurrence-based form)</td>
<td></td>
</tr>
<tr>
<td>2. Vehicle Liability</td>
<td>$1,000,000 per occurrence or more (Bodily Injury and Property Damage)</td>
</tr>
<tr>
<td>(Including Hired &amp; Non-Owned)</td>
<td></td>
</tr>
<tr>
<td>3. Workers Compensation</td>
<td>Required for all personnel</td>
</tr>
<tr>
<td>(In Compliance with Applicable State Law)</td>
<td></td>
</tr>
</tbody>
</table>

The University of Maine System shall be named as Additional Insured on the Commercial General Liability insurance.

Certificates of Insurance for all of the above insurance shall be filed with:
Office of Strategic Procurement
University of Maine System
16 Central Street
Bangor, Maine 04401

Certificates shall be filed prior to the date of performance under this Agreement. Said certificates, in addition to proof of coverage, shall contain the standard statement pertaining to written notification in the event of cancellation, with a thirty (30) day notification period.

As additional insured and certificate holder, the University should be included as follows:
University of Maine System
16 Central Street
Bangor, Maine 04401

2.18 Smoking Policy: Smoking Policy: The University must comply with the "Workplace Smoking Act of 1985" and M.R.S.A. title 22, § 1541 et seq "Smoking Prohibited in Public Places." In compliance with this law, the University has prohibited smoking in all University System buildings except in designated smoking areas. This rule must also apply to all contractors and workers in existing University System buildings. The Contractor shall be responsible for the implementation and enforcement of this requirement within existing buildings.

2.19 Gramm Leach Bliley (GLB) Act (Confidentiality of Information): The Contractor shall comply with all aspects of the GLB Act regarding safeguarding confidential information.

2.20 Payments: Payment will be upon submittal of an invoice to the address shown on the purchase order by the Contractor on a Net 30 basis unless discount terms are offered. Invoices must include a purchase order number. The University is using several, preferred methods of payment: Bank of America’s ePayables and PayMode electronic payment systems. Please indicate your ability to accept payment via any or all of these methods.
SECTION THREE

3.0 REQUIREMENTS:

All responses to the requirements should reflect delivered, or out-of-the-box, functionality. Bidders MUST indicate if system modification, additional products or vendors, costs or if any other accommodation would be necessary to meet a requirement.

Responses to each requirement below should be in order and clearly marked with the section number to which they respond.

3.1 Multi-Institution Capabilities

3.1.1 As stated earlier, the University of Maine System consists of seven unique institutions throughout the state. We employ numerous software applications to support our diverse business needs. In some cases those solutions are unique to a department or institution; in other cases all seven campuses operate in the same database instance. Our student information system (SIS), Oracle’s PeopleSoft Campus Solutions, is one example of an enterprise system where all institutions operate in a single database with security in place to control access to information. This is also true for Financials and Human Capital Management, housed in Oracle’s PeopleSoft as well.

Because our institutions vary greatly in size, the same product may not be appropriate for all campuses. However, our intention in purchasing a Retention product(s) is to make it available to all seven institutions, if it turns out to be right-sized for their business needs.

While we are a university System, our institutions are unique in location, academic offerings and the servicing of students. Any Retention software application that would support all institutions in a single instance must have configurable security such that staff at one institution may only see and take action on data for students related to their institution. In addition, it is ideal for each student to have only one ID in the system. For example, in Campus Solutions every student has a single ID but may be associated with several ‘Academic Institutions’. Students are also identified by ‘Career’, meaning undergraduate, graduate, law, etc… There are further ways to categorize and associate students, but institution and career are the two main characteristics used. Campus Solutions offers us several layers of security and great flexibility in making sure data is appropriately viewed/used by our staff and students.

3.1.2 Given the nature of our structure, explain the options available to us in your Retention product.

- Could multiple institutions operate in a single instance with security to ensure the compartmentalization of data by institution?
- Can students have one ID but be associated with multiple campuses, and multiple careers?
- Do you have other System clients and if so, how did they choose to implement your product?

Please address these questions in detail including what can be done, what cannot be
done, methods, alternatives, business impacts, and pricing/licensing impacts.

3.2 Early Alert:

3.2.1 Describe the standard fields available to faculty/staff making referrals through the Early Alert system. Are they customizable? Can each institution customize them differently? Please explain.

3.2.2 Can early alert notifications be sent to students and their advisors via email? Can notifications be sent to multiple advisors for a single student? Please explain.

3.2.3 Can students be identified in a batch by the faculty/staff member? Can that batch assignment also include student name, student ID, reason for referral, date of referral, name of referrer, and their e-mail address, and department?

3.2.4 Can the system send early alert staff members a snapshot of student information (e.g. financial holds, gpa, etc) at the time of referral? If so, describe the student information that could be made available.

3.2.5 Can providers (faculty/staff) view a student’s history with early alert and other Student Affairs Offices? Please explain.

3.2.6 Does the system provide student surveys measuring psychosocial and other indicators correlated to retention? If so, when are these surveys administered (e.g. 1 month before enrollment, 3 weeks after the first day of classes, the end of the first semester, etc.) and how are they disseminated (online or/and paper)? In what ways are the survey results compiled and made available to staff?

3.2.7 Does your company provide assessment support that would provide campus-specific statistical algorithm(s) that would indicate which combination of factors (i.e., student demographics, academic performance, referral reasons, survey item response, etc.) are predictive of attrition? Please explain.

3.2.8 Is each institution able to utilize its own unique predictive model information or does the system rely on a pre-set predictive model?

3.2.9 We prefer a large (at least 2,000 characters), easy to read comment area be available for faculty or staff when sending a referral. Describe the product’s ability to meet this requirement.

3.3 Tracking Student Success:

3.3.1 Can the student id’s be imported from our student information system and used as their id in the retention system? If not, what type of id system is used and how will we easily associate students between the two systems?

3.3.2 Can the system import data to allow for the viewing of current student information (enrollment, term hours, cum hrs, term GPA, cum GPA, specializations, Ethnicity, DOB, etc.)? Describe the ability of the system to map and upload data from other systems.

3.3.3 How is an administrator/end user able to track student progress?

3.3.4 Overview of student—How visible/accessible is the ‘big picture’ of student progress, contact information, etc.
3.3.5 Describe the ability to set a flag or other indicator that indicates recommendations have been made for improving success.

3.3.6 Is the system capable of accepting data from students and/or staff about having met specific recommendations (e.g. met with faculty, met with advisor, attended supplemental instruction, or visited the writing center)?

3.3.7 Is there the ability to see a student’s schedule, mid-term grades?

3.3.8 Describe how notes about individual students may be stored in the system. Is there a limit to the length of the comments? Does the system provide security related to notes, so users can only view notes they have security privileges for?

3.3.9 Does the system have the ability to track activity with students such as:

- Type of contact with (dropdown)?
- Who contact was with (dropdown)?
- Referrals made (multi-choice dropdown)?
- Length of Contact?
- Status of referral (dropdown)?

3.3.10 Does the system have the ability to differentiate students as first time referral vs. repeat referral?

3.3.11 Does the system integrate with any degree audit or tracking systems (i.e., Oracle Degree Audit, Degree Works, etc.) to provide indicators of academic progress?

3.4 Communications:

3.4.1 Ad-hoc communications: What facilities does the system provide for ad-hoc communications among faculty, staff, and students? How are such facilities accessed, what features are provided for ease and speed of use, and how are recipients determined?

3.4.2 Scheduled communications: Does the system allow for an administrator or end user to schedule emails, texts, or other communications? Can this be done for individual students and/or groups of students?

3.4.3 Triggered communications: Does the system provide a means for triggering communications to a student and/or a student’s support network based on changes in a student's record or certain conditions? Are the conditions under which this may happen delivered, or may each institution customize them?

3.4.4 Where the system provides forms for communications, can fields in the forms be customized? Can they be customized differently for different institutions in the University of Maine System, or for different colleges or programs within a single institution? Please describe the possibilities for customization.

3.4.5 Can photos be uploaded into the system, either in a batch or individually? Does your
product integrate with any external photo repositories? If so, describe its ability to refer to the repository using an identifier (such as emplid).

3.4.6 Is it possible to attach documents to ad hoc, scheduled, or triggered communications? Please explain.

3.4.7 Does the system provide notification to referrer that submission was successful?

3.4.8 Can the product provide e-mail notification to students that they have been referred along with reason for referral?

3.4.9 Does the system have the capability to add additional student contact information (e-mail, cell phone, local phone) to referrals (by the practitioner assigned to work with the student)?

3.4.10 Does the system possess the ability to respond back to the person making a referral via email?

3.5 Appointments/Calendar:

3.5.1 Does the system have the ability to assign a referral to a specific staff person?

3.5.2 Can students schedule appointments with individuals and/or offices via a self service interface? If so, can it show students only times available for student meetings, not an entire calendar?

3.5.3 Can faculty/staff request a meeting with students through the system?

3.5.4 Can the system be set up to automatically send email or text message appointment reminders? Please explain.

3.5.5 Can the system accept data from scanners or card readers as verification of appointments kept?

3.5.6 Can appointment scheduling through the system be integrated with google calendar, ical, or other calendar systems? Please explain.

3.5.7 Does the system have the ability to enter and track walk-in/self-referrals?

3.6 Reporting:

3.6.1 How are students grouped or segmented into specific/targeted populations?

3.6.2 Search capability—describe how searches are conducted within the system (student search, alpha order within segments, class, overall…).

3.6.3 Does the product have the ability to export data into a spreadsheet/database for querying and reporting? Please explain the methods by which this may be accomplished.

3.6.4 Describe the process for creating new and ad-hoc reports.

3.6.5 Describe the ability to have campus specific labels for checkboxes on academic reports.
3.6.6 Can reports be run by user specified date ranges?

3.6.7 Does the system offer a set of delivered reports? Please describe, specifically identifying the most commonly used reports.

3.6.8 Can reports be scheduled to run automatically and emailed to specific individuals, or groups of individuals? Please explain.

3.6.9 Does the system allow reporting permissions to match application security? Please explain.

3.6.10 Is the system integrated with a third party reporting tool? If so, please explain.

3.6.11 Describe any dashboards the system may offer. Are they customizable, and if so, in what ways? Can different users set up different dashboard content? Describe, or provide examples/screen shots of, options for dashboard content.

3.6.12 Does the product have the ability to export referral data into an spreadsheet/database for querying and reporting?

3.6.13 Does the system have the ability to query and report all follow-up information on a particular referral?

3.6.14 Does the system have the ability to query student records?

3.6.15 Can the system generate a report on both duplicated referrals and unduplicated referrals?

3.6.16 Does the software provide a native reporting tool that allows for the manipulation of columns and rows in order to see student activity in a time series? Explain.

3.6.17 Reporting security – Does the reporting security correlate to the security in the system? For example, those not able to view a particular field in the system, shouldn't be able to print a report with that field on it.

3.6.18 Describe the ability to present faculty report data to retention administrators. By what methods may this be done? What type of access would retention administrators have to these reports in the system?

3.6.19 Describe the ability to send a single report on one student or multiple reports for students in a class at any time. When sending multiple reports for students in a class, the form should have all students listed on a single page to minimize keystrokes.

3.7 User Interfaces:

3.7.1 Does the tool have a student interface/portal? If so please describe and/or provide screenshots.

3.7.2 Does the tool have an advisor/faculty interface/portal? If so please describe and/or provide screenshots.

3.7.3 Does the tool have a coordinator/staff interface/portal? If so please describe and/or
provide screenshots.

3.7.4 Easy access and ease/speed of use within the system are essential. Describe the features that facilitate these requirements.

3.7.5 Are the interfaces customizable? May we rename fields, tabs, interface appearance (i.e. Campus colors, logos, etc)?

3.8 System Interfaces:

3.8.1 Interfaces to PeopleSoft Campus Solutions, and possibly Blackboard, will be requirements for this project. The information we would like to exchange with these system will need further scoping, but in general, here are some data elements we foresee exchanging:

3.9 PeopleSoft Campus Solutions:

3.9.1 Student Demographic Data: student id, name, date of birth, on campus or off campus, if on campus which dorm, residency (in state or out of state), gender, ethnicity, first generation, email addresses and mobile phone numbers

3.9.2 High School Information: test scores (ACT, SAT, placement), GPA, rank in class, prior college or AP credits

3.9.3 Advising Data: advisor names, advisor type, advising notes

3.9.4 Academic Information: current course registration (including number of registered credits, course names, instructor names), GPA, student wish list and wish list status, academic standing, midterm grades, final grades

3.9.5 Other: service indicators to include any hold that prevents enrollment, financial aid satisfactory academic progress status (SAP), Accuplacer scores, and various student groups, affiliations or cohorts

3.10 Blackboard:

3.10.1 BlackBoard is our official LMS, but is used to different degrees and in different ways across campuses. This is an area where we’ll be looking for guidance and advice on best practices, but the data we would be interested in, if available, is around grades and access/usage.

3.10.2 Describe any experience you have integrating this product with BlackBoard. What types of data were included?

3.11 Tutor Trac:

3.11.1 Can the system accept data from Tutor Trac and include it in reports? Please describe.

3.12 Technical:

3.12.1 We realize there are often various hosting options. Please describe your Software as a Service (SaaS), hosted, and/or onsite deployment environments. Detail the hardware, software, storage, and database requirements of each environment. For
hosted or SaaS environments, please outline uptime and downtime. For SaaS or hosted solutions, please explain if we can query the database.

3.12.2 We require test, development and production instances of the Retention solution. Detail how these instances would be provided.

3.12.3 We require policies and procedures which insure the integrity of UMS data in case of system failure. Explain your backup and disaster recovery policies.

3.12.4 If running on vendor’s server, is there any time that the system is unavailable? Is the system “mirrored” to allowed minimal downtime?

3.12.5 What are the hardware/software/browser requirements of functional users’ desktop and/or laptop computers, phones, and tablets?

3.12.6 What mobile platforms are supported by the Retention solution? How are mobile capabilities implemented? (i.e. mobile-enabled, apps, etc.) How and when are mobile updates provided?

3.12.7 Identify which components of your products or services are provided by third-party technology partners. This includes OEM software, hosting, et al.

3.12.8 What are the underlying technologies for the component(s) provided by third-party technology partner(s)?

3.12.9 What security protections are provided by the third party? Can they show evidence that they have been audited, accredited, or reviewed by an independent auditor?

3.12.10 Provide the third-party technology partner(s) name(s), address(es) and contact(s), as well as explain additional costs or fees associated with the components.

3.12.11 How often is the software updated and releases made available?

3.12.12 Define the documentation and ongoing support provided related to updates and/or releases.

3.12.13 What release/version are you proposing for the University of Maine System and when is the next release/version due out?

3.12.14 Explain how patches or updates released during implementation would be handled. Describe the change management process.

3.12.15 Who is responsible for installing patches, updates and releases?

3.12.16 How many languages does your solution support? Which ones?

3.12.17 What is the maximum number of concurrent users logged in simultaneously your system can support? Describe how your system defines concurrent users.

3.12.18 Does this solution come with a comprehensive data dictionary of the database?

3.12.19 Describe the ability to add fields and tables to the database for local needs (based upon hosting option.)
3.12.20 Describe how the vendor and/or client may monitor system performance.

3.12.21 Please provide a roadmap of your hardware/software solutions that reflects their present states as well as future states for at least the next 18 to 24 months. Include anything that might impact an interface with PeopleSoft Campus Solutions.

3.12.22 If cloud based, on average how many person-hours per week is required for university technical support of the product?

3.12.23 Explain how your product provides the highest degree of accessibility to all users, including users who may have an impairment or disability. Describe the product’s capacity to interface with peripherals, software and assistive technologies used by students, teachers and others with visual, hearing, mobility, communication and/or cognitive impairments. The University of Maine System policy on accessibility may be reviewed here: [http://www.maine.edu/wp-content/uploads/2013/11/IV-A-Accessibility-of-Prog-Serv-and-fac.pdf](http://www.maine.edu/wp-content/uploads/2013/11/IV-A-Accessibility-of-Prog-Serv-and-fac.pdf)

3.13 Security:

3.13.1 Do you perform external code reviews? When was the last one done? May we see it?

3.13.2 Describe the architecture including any external data feeds or outputs.

3.13.3 Describe your information security policy.

3.13.4 Describe how data is transmitted and stored within your organization with regards to our data.

3.13.5 Describe employee information security data safeguarding training.

3.13.6 Describe what you have in place to ensure that our data is protected against loss and unauthorized access. Include information related to contingencies against catastrophic data loss. How do you assure business continuity in the face of a catastrophic event like a network outage or data center failure? Comment on what we could expect by way of service disruptions and the speed of recovery.

3.13.7 Provide a statement that clearly lays out your position regarding the sharing of our data with any outside agency.

3.13.8 Provide information on the means by which the UMS could routinely obtain a copy of data being held for us. The data could be used by the UMS to update internal systems/warehouses. Should the contract between us be terminated or lapse, describe how the UMS could obtain a final full data copy.

3.13.9 If a web application, do you have protections against the most critical web security flaws including:
- SQL injection
- Broken authentication and session management
- XSS

3.13.10 Describe how user accounts are created/administered in the system.

3.13.11 Explain the methods by which your system authenticates users.
3.13.12 Does your solution offer capabilities to use CAS or Shiboleth for single sign-on? If not what do you use?

3.13.13 Authorization should be handled within the system and provide different levels of access for different jobs or roles within a department or the institution. System functions must be able to be secured at various levels. How does this system provide for different levels of role-based security?

3.13.14 Do you deliver an API to manage the authorization data in our Identity Management System? If so, describe how you deliver this solution.

3.13.15 If your solution is not web-based, how will users securely access the system remotely?

3.13.16 Describe the audit trail capabilities of the system (auditing from within the applications as well as outside the application).

3.13.17 Explain your data security model.

3.13.18 How often is the data backed up?

3.13.19 Do you have offsite backup storage?

3.13.20 Is there a framework or methodology for testing?

3.13.21 If Saas or hosted, how will data be protected? Address in regards to data retention, encryption, training, etc…

3.13.22 Is the source code for the product in a Software Escrow for the benefit of its customers in case of company failure?

3.13.23 Describe what third party audits you have received (e.g. SSAE 16) by date and type and your willingness to share the audit(s).

3.14 Implementation:

3.14.1 Describe your recommended implementation strategy, best practice consulting options, and professional services. The University of Maine System requires the review of consultant’s credentials/experience and reserves the right to request replacement if he/she fails to meet expectations at any time.

3.14.2 Describe your project management approach. What project management tools do you use? Describe the project management offered as part of a standard implementation.

3.14.3 Indicate your timeline from implementation start to “go live” date. Provide task lists and timelines for a standard implementation. Include examples for vendor hosted or University hosted, if applicable. Best case scenario for this project would be to have the system up and running for the fall 2014 semester. To do this it would have to be ready, with training occurring, no later than mid August. When would implementation need to begin to hit this target? Alternatively, when would implementation need to begin in order to target a spring 2015 go-live, with training beginning early December 2014?
3.14.4 If full implementation is not feasible for fall, would you recommend a phased rollout? If so, describe your recommendation for feature rollout.

3.14.5 Outline the staffing and composition of the implementation team. Include University staff and roles, vendor staff and roles, and proposed hours required for successful implementation.

3.14.6 Implementation roles and responsibilities - Please elaborate on the project team required and time commitment to implement your software including functional and technical resources within the university. A sample project plan would be helpful.

3.14.7 Identify any third party vendors involved in your implementation strategy and describe these relationships. Indicate whether these relationships are required or optional for implementation of the proposed solution. Be sure to detail associated costs and requirements related to the third party vendor.

3.15 Training:

3.15.1 Describe the training options available in support of this product and implementation. Include training for functional and technical users.

3.15.2 Describe the training methods available such as on-site, online instructor led, online self help, documentation, etc…

3.15.3 Describe your training best practices and what you would recommend for a successful implementation of this product.

3.16 Support:

3.16.1 Explain what type of documentation, or help system, is included with the solution. Describe all documentation available online to IT support staff.

3.16.2 Is there a customer portal available for clients to report issues and obtain information via a knowledge base? What is the process for reporting issues and seeking assistance? What are your turn-around times?

3.16.3 Do you support user groups or advisory boards for the proposed solution? Do they operate independently from your company? Are they national or regional? How large is the user community? Please explain.

3.16.4 What services or events do you offer clients to maximize or leverage the features/functionality of the solution?

3.16.5 Describe how you manage on-going contact with your clients. Would the University of Maine System be assigned an account manager? What expertise would that person have to support our needs?

3.16.6 Please provide a detailed account of your actions should you miss an SLA. Include a description of the actions you would take to assure the lapse did not occur again. Would the UMS be eligible for subscription fee credits as a result of the lapse?

3.16.7 Please offer advice on the type and level of support the UMS should provide to ensure success in the use of your service. Include your thoughts on UMS responsibilities related to installation, problem investigation, software management (if
not fully Saas), and administration of the service.

3.16.8 How do you obtain and prioritize feedback for changes or enhancements to your solution? (i.e. user groups, customer service, company representatives, etc.) To what degree do you rely on developers outside your organization to stay on top/ahead of the quickly changing technology field and what types of contributions are they able to make?

3.16.9 How is the campus system administrator notified and alerted to problems, bugs, issues, security holes, and new patches available?

3.16.10 Is there an active development community available? How large is the community?
SECTION FOUR

4.0 PROPOSAL CONTENT:

Bidders shall ensure that all information required herein is submitted with the proposal. All information provided shall be verifiable by documentation requested by the University. Failure to provide all information, inaccuracy or misstatement may be sufficient cause for rejection of the proposal or rescission of an award. Bidders are encouraged to provide any additional information describing operational abilities. Responses to each requirement below should be in order and clearly marked with the section number to which they respond.

Bidders shall respond to each of the Requirements shown in SECTION THREE as well as SECTION FOUR. When a description, explanation or other response is not required such as at paragraph 3.1.1 above as simple acknowledgement such as “UNDERSTOOD” will suffice.

4.1 Qualifications:

4.1.1 Provide a statement describing your company to include name, number of employees, locations, number of years in business, number of years offering/supporting the proposed solution, and any and all acquisitions or mergers in the last five years. Is the company publicly or privately held?

4.1.2 Please provide information about contract cancellations or non-renewals your company has experienced over the last three years.

4.1.3 Describe your experience offering student retention systems for higher education. Provide a client list that includes any and all higher education clients.

4.1.4 Provide a statement that explains why your company would be most qualified to provide products and services to the University of Maine System. What differentiates you from your competitors?

4.1.5 Describe your firm’s understanding of the current higher education retention market. What challenges do universities face in the area of student retention, and how would your product support our retention goals?

4.2 Costs: Provide a cost breakdown that includes the following:

4.2.1 Include pricing for SaaS and/or University hosted models as applicable.

4.2.2 System and application software, including additional applications suggested for enhanced performance.

4.2.3 Indicate all options available for licensing including (if applicable) named licenses, concurrent users, unlimited, etc.

4.2.4 List the costs for implementation of your system in a detailed line by line format to include but not limited to labor, staffing, travel, testing, training, documentation, product literatures/manuals, etc.

4.2.5 Detail a maintenance fee schedule for multi-year contracts.

4.2.6 Inclusive of all costs, provide a breakdown of one-time, first year, ongoing annual,
and three year costs. Include the metrics used to determine pricing, highlighting those that relate to scalability.

4.2.7 Each campus will need to understand cost relative to their institution. So for the purpose of your proposal, present pricing for each of the three campuses mentioned in the ‘University Background’ section (UM, USM, and UMPI) separately, noting any multi-campus or other discounts.

**Note regarding total cost of ownership:** This “cost” will encompass the entire solution pricing along with all services and necessary customizations. If there are additional components or modules that are not included in the offering, they must be identified and itemized as “optional” and include all software, maintenance/support, hosting services, professional services, integration, and customization costs, as applicable. All items identified in the proposal (including third party items required) will be considered free add-ons to the proposed solution at the prices included in this RFP response unless expressly stated otherwise.

4.3 References: Finalists will be required to provide at least three (3) current professional references who may be contacted for verification of the bidder’s professional qualifications to meet the requirements set forth herein. We will request that the references include one long-standing customer (minimum of 3 year engagement) and one new customer (one who has been engaged with vendor for less than one year). We strongly prefer clients from higher education institutions similar in size and requirements to the University of Maine System.
ATTACHMENT A

UNIVERSITY OF MAINE SYSTEM
STANDARDS FOR SAFEGUARDING INFORMATION

This Attachment addresses the Contractor’s responsibility for safeguarding Compliant Data and Business Sensitive Information consistent with the University of Maine System’s Information Security Policy and Standards. (infosecurity.maine.edu)

Compliant Data is defined as data that the University needs to protect in accordance with statute, contract, law or agreement. Examples include Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), Gramm-Leach-Biley Act (GLBA), Maine Notice of Risk to Personal Data Act, and the Payment Card Industry Data Security Standards (PCI-DSS).

Business Sensitive Information is defined as data which is not subject to statutory or contractual obligations but where the compromise or exposure of the information could result in damage or loss to the University.

1. **Standards for Safeguarding Information:** The Contractor agrees to implement reasonable and appropriate security measures to protect all systems that transmit, store or process Compliant Data and Business Sensitive Information or personally identifiable information from Compliant Data and Business Sensitive Information furnished by the University, or collected by the Contractor on behalf of the University, against loss of data, unauthorized use or disclosure, and take measures to adequately protect against unauthorized access and malware in the course of this engagement.

   A. Compliant Data and Business Sensitive Information may include, but is not limited to names, addresses, phone numbers, financial information, bank account and credit card numbers, other employee and student personal information (including their academic record, etc.), Drivers License and Social Security numbers, in both paper and electronic format.

   B. If information pertaining to student educational records is accessed, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with FERPA.

   C. If information pertaining to protected health information is accessed, used, collected, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with HIPAA and Contractor shall sign and adhere to a Business Associate Agreement.
D. If Contractor engages in electronic commerce on behalf of the University or cardholder data relating to University activities is accessed, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with current PCI-DSS guidelines.

E. If information pertaining to protected “Customer Financial Information” is accessed, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with GLBA.

2. Prohibition of Unauthorized Use or Disclosure of Information: Contractor agrees to hold all information in strict confidence. Contractor shall not use or disclose information received from, or created or received by, Contractor on behalf of the University except as permitted or required by this Agreement, as required by law, or as otherwise authorized in writing by the University.

3. Return or Destruction of Compliant or Business Sensitive Information:

A. Except as provided in Section 3(B), upon termination, cancellation, or expiration of the Agreement, for any reason, Contractor shall cease and desist all uses and disclosures of Compliant Data or Business Sensitive Information and shall immediately return or destroy (if the University gives written permission to destroy) in a reasonable manner all such information received from the University, or created or received by Contractor on behalf of the University, provided, however, that Contractor shall reasonably cooperate with the University to ensure that no original information records are destroyed. This provision shall apply to information that is in the possession of subcontractors or agents of Contractor. Contractor shall retain no copies of University information, including any compilations derived from and allowing identification of any individual’s confidential information. Except as provided in Section 3(B), Contractor shall return (or destroy) information within 30 days after termination, cancellation, or expiration of this Agreement.

B. In the event that Contractor determines that returning or destroying any such information is infeasible, Contractor shall provide to University notification of the conditions that make return or destruction infeasible. Upon mutual agreement of the Parties that return or destruction of such information is infeasible, Contractor shall extend the protections of this Agreement to such information and limit further uses and disclosures of such information to those purposes that make the return or destruction infeasible, for so long as Contractor maintains such information.

C. Contractor shall wipe or securely delete Compliant Data or Business Sensitive Information and personally identifiable information furnished by the University from
storage media when no longer needed. Measures taken shall be commensurate with the standard for “clearing” as specified in the National Institute of Standards and Technology (NIST) Special Publication SP800-88: Guidelines for Media Sanitization, prior to disposal or reuse.

4. **Term and Termination:**

   A. This Attachment shall take effect upon execution and shall be in effect commensurate with the term of the Agreement

5. **Subcontractors and Agents:** If Contractor provides any Compliant Data or Business Sensitive Information received from the University, or created or received by Contractor on behalf of the University, to a subcontractor or agent, the Contractor shall require such subcontractor or agent to agree to the same restrictions and conditions as are imposed on Contractor by this Agreement.

6. **Contractor shall control access to University data:** All Contractor employees shall be adequately screened, commensurate with the sensitivity of their jobs. Contractor agrees to limit employee access to data on a need-to-know basis. Contractor shall impose a disciplinary process for employees not following privacy procedures. Contractor shall have a process to remove access to University data immediately upon termination or re-assignment of an employee by the Contractor.

7. **Unless otherwise stated in the agreement,** all Compliant Data or Business Sensitive Information is the property of the University and shall be turned over to the University upon request.

8. **Contractor shall not amend or replace** hardware, software or data without prior authorization of the University.

9. **If mobile devices are used** in the performance of this Agreement to access University Compliant Data or Business Sensitive Information, Contractor shall install and activate authentication and encryption capabilities on each mobile device in use.

10. **Reporting of Unauthorized Disclosures or Misuse of Information:** Contractor shall report to the University any use or disclosure of Compliant Data or Business Sensitive Information not authorized by this Agreement or in writing by the University. Contractor shall make the report to the University not more than one (1) business day after Contractor learns of such use or disclosure. Contractor’s report shall identify; (i) the nature of the unauthorized use or disclosure, (ii) the information used or disclosed, (iii) who made the unauthorized use or received the unauthorized disclosure, (iv) what Contractor has done or shall do to mitigate the effects of the unauthorized use or disclosure, and (v) what corrective action Contractor
has taken or shall take to prevent future similar unauthorized use or disclosure. Contractor shall provide such other information, including a written report, as reasonably requested by the University. Contractor shall keep University informed on the progress of each step of the incident response. Contractor shall indemnify and hold University harmless from all liabilities, costs and damages arising out of or in any manner connected with the security breach or unauthorized use or disclosure by Contractor of any University Compliant Data or Business Sensitive Information. Contractor shall mitigate, to the extent practicable, any harmful effect that is known to Contractor of a security breach or use or disclosure of Compliant Data or Business Sensitive Information by Contractor in violation of the requirements of this Agreement. In addition to the rights of the Parties established by this Agreement, if the University reasonably determines in good faith that Contractor has materially breached any of its obligations, the University, in its sole discretion, shall have the right to:

- Inspect the data that has not been safeguarded and thus has resulted in the material breach, and/or
- Require Contractor to submit a plan of monitoring and reporting, as the University may determine necessary to maintain compliance with this Agreement;
- and/or Terminate the Agreement immediately.

11. **Survival**: The respective rights and obligations of Contractor under Section 12 of the Agreement or Section 3 of this Attachment shall survive the termination of this Agreement.

12. **Contractor Hosted Data**: If Contractor hosts University Compliant Data or Business Sensitive Information in or on Contractor facilities, the following additional clauses apply.

   A. Contractor computers that host University Compliant Data or Business Sensitive Information shall be housed in secure areas that have adequate walls and entry control such as a card controlled entry or staffed reception desk. Only authorized personnel shall be allowed to enter and visitor entry will be strictly controlled.

   B. Contractor shall design and apply physical protection against damage from fire, flood, earthquake, explosion, civil unrest, and other forms of natural or man-made disasters. Contractor shall protect hosted systems with Uninterruptible Power Supply (UPS) devices sufficient to meet business continuity requirements.

   C. Contractor shall backup systems or media stored at a separate location with incremental back-ups at least daily and full back-ups at least weekly. Incremental and full back-ups shall be retained for 15 days and 45 days respectively. Contractor shall test restore procedures not less than once per year.
D. Contractor shall provide for reasonable and adequate protection on its network and system to include firewall and intrusion detection/prevention.

E. Contractor shall use strong encryption and certificate-based authentication on any server hosting on-line and e-commerce transactions with the University to ensure the confidentiality and non-repudiation of the transaction while crossing networks.

F. The installation or modification of software on systems containing University Compliant Data or Business Sensitive Information shall be subject to formal change management procedures and segregation of duties requirements.

G. Contractor who hosts University Compliant Data or Business Sensitive Information shall engage an independent third-party auditor to evaluate the information security controls not less than every two (2) years. Such evaluations shall be made available to the University upon request.

13. If the Contractor provides system development, Compliant Data or Business Sensitive Information shall not be used in the development or test environments. Records that contain these types of data elements may be used if that data is first de-identified, masked or altered so that the original value is not recoverable. For programs that process University data, initial implementation as well as applied updates and modifications must be produced from specifically authorized and trusted program source libraries and personnel. Contractor shall provide documentation of a risk assessment of new system development or changes to a system.

UNIVERSITY

By: ___________________  ___________________
    Signature                  Date

    ___________________
    Printed

    ___________________
    Title                  Address
CONTRACTOR

By: ___________________    ___________________
    Signature          Date

    ___________________    ___________________
    Printed             Address

    ___________________    ___________________
    Title               Address