



**Request for Proposal**  
Plan Administration Firm  
**Unified Carrier Registration  
Plan**

2/20/2017

The Unified Carrier Registration (UCR) Plan Board of Directors is seeking proposals from qualified service providers in support of the administration of the Unified Carrier Registration Agreement.

### Recipients

This tender document is open to all interested administrative firms with offices located in participating states, which include: AK, AL, AR, CA, CO, CT, DE, GA, IA, ID, IL, IN, KS, KY, LA, MA, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NM, NY, OH, OK, PA, RI, SC, SD, TN, TX, UT, VA, WA, WI, WV.

Eligibility is also open to firms based in Washington, DC, although preference may be given to firms located in a state participating in the UCR Plan.

### Process

This Request For Proposal (RFP) will be released to a relevant market segment of potential vendors. Vendors must acknowledge receipt of the tender documentation and send a formal response to the UCR Board's designated contact.

The UCR Board will hold **an optional in-person vendor meeting/Q&A session in Nashville, Tennessee, on March 22, 2017**. The meeting will include a presentation about the Unified Carrier Registration Agreement, the Plan, and the UCR Board's current operations.

Vendor proposals will then be evaluated, and **a shortlist of finalists will be selected and invited to Atlanta, Georgia, on April 27, 2017, for an in-person interview** with the UCR Board.

The following timeframes will be adhered to during this process:

|   |           |
|---|-----------|
| <b>Release RFP</b>  | 2/20/2017 |
| <b>Expression of vendor interest due</b>                                    | 3/6/2017  |
| <b>Vendor questions due</b>   | 3/8/2017  |
| <b>Vendor RSVP for in-person information Q&amp;A session</b>                | 3/8/2017  |
| <b>UCR Board RFP Task Force provides answers to questions</b>               | 3/17/2017 |
| <b>In-person information/Q&amp;A session (held in Nashville, Tennessee)</b> | 3/22/2017 |
| <b>RFP responses due</b>  | 3/31/2017 |

|   |           |
|---|-----------|
| <b>UCR Board RFP Task Force completes review of responses</b>   | 4/12/2017 |
| <b>Finalists notified</b>                                       | 4/12/2017 |
| <b>In-person finalist interviews (held in Atlanta, Georgia)</b> | 4/27/2017 |
| <b>Final selection made</b>                                     | 4/28/2017 |
| <b>Negotiations completed/contract signed</b>                   | 6/1/2017  |

**Changes and Revisions:** Vendors who submit an expression of interest by the March 6 deadline will be notified of changes to this schedule or edits to this RFP via email.

### **Response Instructions**

RFP responses should be emailed to: [scott.morris@psc.alabama.gov](mailto:scott.morris@psc.alabama.gov) and [UCRA.Board.of.Directors@gmail.com](mailto:UCRA.Board.of.Directors@gmail.com) no later than 5:00 PM CST on March 31, 2017.

Responses to this RFP should provide a thorough overview of Administrator capabilities, not to exceed 25 pages (formatted in 12-point font), exclusive of appendices.

Responses may be submitted in either DOC or PDF files.

### **Expression of Interest**

If you are considering responding to the RFP, please indicate your expression of interest by emailing [scott.morris@psc.alabama.gov](mailto:scott.morris@psc.alabama.gov) and [UCRA.Board.of.Directors@gmail.com](mailto:UCRA.Board.of.Directors@gmail.com) no later than March 6, 2017.

Please note, if you do not express interest in responding, you may still respond. However, you may not receive the responses to vendor questions or updates and/or revisions to the schedule.

### **Questions**

Questions about this RFP must be submitted by March 8, 2017. Please submit questions by email to [scott.morris@psc.alabama.gov](mailto:scott.morris@psc.alabama.gov) and [UCRA.Board.of.Directors@gmail.com](mailto:UCRA.Board.of.Directors@gmail.com).

Responses to vendor questions will be sent via email to all potential vendors who (a) submitted questions or (b) indicated an expression of interest in responding to the RFP.

### **In-Person Information/Q&A Meeting**

The UCR Board Task Force will hold an information/Q&A meeting at 10:30

AM on Wednesday, March 22, 2017. The meeting will take place in Nashville, Tennessee. Additional details about the meeting location will be provided to vendors who express interest in attending.

If you wish to attend this information/Q&A session, please email [scott.morris@psc.alabama.gov](mailto:scott.morris@psc.alabama.gov) and [UCRA.Board.of.Directors@gmail.com](mailto:UCRA.Board.of.Directors@gmail.com) by March 8, 2017.

Your email should include the following information:

- The number of people your firm plans to send to the meeting
- The name, email address, and telephone number of your firm's main point of contact

During the meeting, a representative of the UCR Board will give a 1- to 2-hour presentation about the UCRA Agreement and provide additional details about the tasks associated with the Administrator position. After the formal presentation, the UCR Board representative will take questions from vendors.

The in-person meeting is not mandatory, but vendors are strongly encouraged to attend. Vendors who do not attend may still respond to the RFP.

### **Modifications, Withdrawals, and Late Submissions**

Vendors may modify or withdraw their proposals at any time before the final submission deadline of 5:00 PM CST on March 31, 2017.

Proposals received after the deadline of 5:00 PM CST on March 31, 2017, will not be considered.

### **Organizational Overview**

The federal UCR Agreement requires individuals and companies that operate commercial motor vehicles in interstate or international commerce to register their business and pay an annual fee based on the size of their fleet. With regard to interstate and international operations, provisions of the UCR affect the following:

- Motor carriers
- Motor private carriers
- Freight forwarders
- Brokers
- Leasing companies

The UCR Plan is the organization of state, federal, and industry representatives responsible for developing, implementing, and administering

the UCR Agreement. The UCR Agreement is the interstate agreement, developed under the UCR Plan, governing the collection and distribution of registration information and fees generated under the UCR Plan.

Under the UCR Plan, motor carriers and other registrants pay fees annually to their designated base state. UCR fees are based on the total number of commercial motor vehicles operated in interstate commerce. The UCR Depository collects and distributes carrier revenue from participating states, and ensures that each participating state receives the designated amount of total revenue.

The UCR Plan currently supports 425,000 registrants and generates \$113 million in annual funds. The UCR Depository collects and distributes approximately \$35 million to participating states.

The following states participate in the UCRA: AK, AL, AR, CA, CO, CT, DE, GA, IA, ID, IL, IN, KS, KY, LA, MA, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NM, NY, OH, OK, PA, RI, SC, SD, TN, TX, UT, VA, WA, WI, WV.

### **Evaluation and Contract Negotiation**

The UCR Board will review each proposal and award the contract to the firm whose proposal is most advantageous to the UCR Board in terms of pricing, capabilities, staffing, and previous experience.

Price alone will not be the determining factor. Accordingly, the UCR Board may not necessarily award the contract to the firm that is the lowest bidder. The award of the contract will be made in the sole and absolute discretion of the UCR Board. The UCR Board reserves the right not to award the contract if, in the UCR Board's sole and absolute discretion, no firm presents a satisfactory proposal.

Contract terms and conditions will be negotiated upon the selection of the winning firm. All contractual terms and conditions will be subject to review, including, but not limited to, scope of work, budget, and project schedule.

Please note that the UCR Board reserves the right to reject proposals for any reason, including:

- Proposals that are submitted after the stated due date
- Proposals that fail to address all of the components of the RFP
- Proposals that include falsified or fraudulent information
- Responses that are too broad or vague to provide a clear view of your firm's experience and capabilities
- Proposals that are not formatted as requested
- Proposals that exceed the designated page limit

- Proposals from firms that do not have offices in a participating state or in Washington, DC

### **Nondiscrimination Policy**

The UCR Board is an equal opportunity employer and does not discriminate based on race, gender, religion, age, or disability. Proposals will be judged solely on the vendor's ability to perform the duties outlined in the Scope of Work.

### **Conflict of Interest**

To avoid a conflict of interest and to ensure fair and open competition, the UCR Board will not consider proposals from:

- Firms owned (in whole or in part) by current UCR Board members
- Firms owned (in whole or in part) by a family member (or spouse of a family member) of a current UCR Board member
- Firms providing things of value to current UCR Board members or a family member of a current UCR Board member

"Family member" is defined as a spouse, child, grandchild, parent, or sibling of a current UCR Board member.

Vendors are prohibited from engaging in any practices that restrict or eliminate competition.

### **Award/Contract Information**

The initial contract will be for a term of 2 to 3 years, with the option to renew for another 1 to 2 years. The contract will include a semiannual review of services, which will be held either in person or via teleconference, depending on the preference of the UCR Board.

### **Cancellation/Termination Policy**

The Administrator will be given 90 days' notice if the UCR Board decides to terminate the contract. During the contract negotiation, the UCR Board and the selected vendor will discuss and finalize policies, grounds, and processes for termination.

### **Place of Performance/Work Schedule/Travel**

All day-to-day administrative tasks will be conducted at the offices of the selected firm or another agreed-upon location. The UCR Board's only non-negotiable requirement is that all day-to-day tasks take place within a participating state or Washington, DC.

The Administrator will be expected to maintain office hours every weekday, from 8:00 AM to 5:00 PM CST, unless an alternate schedule is agreed upon.

We anticipate that this job will require occasional travel, including but not limited to:

- 3-6 trips to vendor locations
- 3-4 trips to in-person UCR Board meetings
- 3-4 trips to in-person subcommittee meetings
- Travel associated with audit functions, as needed

Please note, this is an estimate only. Travel requirements may be more or less than this, depending on several factors, including updates to policies.

The UCR Board will reimburse the Administrator for the actual cost of all travel expenses in accordance with UCR policy.

### **Confidentiality**

The information contained in this RFP is confidential and proprietary to the UCR Plan. In accepting this RFP, vendors agree to the following conditions, under USA law:

- During the course of this tender process, you may acquire confidential information relating to our business, project, and/or customers.
- You agree to keep this information strictly confidential at all times (even after the project has been completed).
- You will not use or attempt to use it for your personal gain or for the gain of any other person.
- You may disclose confidential information only to the extent that such disclosure is necessary for the submission of a formal vendor response.
- This does not apply to information that must legally be disclosed or becomes available to and known by the public.

If the vendor does not agree with the respective clauses, the vendor should explicitly state it within their response.

All information submitted in response to this RFP shall be considered public information.

### **Scope of Work**

The UCR Board of Directors is seeking qualified service providers for the administration of the UCR Agreement. Since its inception, the UCR Board has managed the UCR Plan. The UCR Board has identified three main objectives in the multi-year administrative contract:

1. Move workload from volunteers to paid contractors
2. Engage relevant management and administration experience
3. Bring best practices in efficiency and organization to program administration

The UCR Board estimates that managing the UCR Plan will require 3 to 5 full-time equivalent (FTE) employees. However, if your firm believes that the duties outlined in this scope of work will require more or fewer FTE employees, the UCR Board is open to suggestions and input.

The Administrator will be expected to take over the following plan administration and management duties:

### **1. Project Management and Website Development**

Project management duties/responsibilities include:

- **Managing and overseeing all upgrades and enhancements to online registration system and depository management system.** The current system is operated by the Indiana Department of Revenue (IDOR). The plan Administrator will be expected to work directly with IDOR to ensure that all currently planned upgrades and enhancements are completed on schedule. The Administrator will also be involved in testing the system after all upgrades and enhancements are completed.

The UCR Board sees this as a role that will evolve over time, as the Administrator becomes more familiar and comfortable with IDOR's system. Initially, the Administrator will function as a project manager, overseeing updates and enhancements requested by UCR Board members and other end-users. The UCR Board expects that eventually – in addition to managing the improvement process – the Administrator will be able to identify areas of need and request upgrades and enhancements.

Based on the current project schedule, the UCR Board anticipates that the Administrator will be required to travel to Indiana to conduct system testing on-site. The Administrator should expect about 4 to 6 trips to Indianapolis during the first year of the contract, with additional trips as needed. The UCR Board anticipates that the need for travel will be scaled back considerably after the first year.

- **Managing the UCR Board's relationship with Iteris.** The Administrator will take over the UCR Board's role in working with Iteris, the company that provides data and web-based reporting tools related to the UCR Plan. In addition to being a daily user of data and reports generated by Iteris, the Administrator will also act as the UCR Board's representative in guiding the development of any new data



reporting tools and/or helping other end-users troubleshoot or resolve problems with the system.

Travel associated with this role will be minimal. The Administrator may be expected to take 1 or 2 trips to Iteris' Idaho Falls facility as needed.

- **Development of a UCR website.** The Administrator will work directly with the UCR Board to build a new website for the UCR.

The UCR Board needs a static website with approximately 5 to 7 pages, including, but not limited to:

- A home page
- An About the UCR Board page
- A directory page with links to other sites and documents
- An FAQ page
- A calendar of events

In addition, the website will need to house and make available for download public documents such as policies and procedures, financial statements, and meeting minutes. For this phase of the project, the UCR Board does not require a searchable database or a large site with many moving parts. Any additional phases to a website project would be discussed with the Administrator and quoted separately.

In addition, the Administrator will need to migrate all of the UCR Plan documents and meeting minutes that are currently hosted on the National Conference of State Transportation Specialists (NCSTS) website (click [here](#) to view the documents that will need to be moved to the new site).

The UCR Board would like to have the new site up and running 3 to 6 months after the Administrator is hired and the contract is signed. However, if your firm doesn't feel that is a realistic timeline, the UCR Board will consider suggestions and recommendations.

## **2. Depository and Financial Administration**

Duties and responsibilities include:

- **Managing email and phone inquiries from participating states.** The Administrator will be expected to act as the UCR Board's representative to answer and respond to emails and all phone calls related to payments made and received, as well as questions about issues or problems related to the IDOR system.

The Administrator will need to set up a dedicated telephone line for handling inquiries and ensure that the line is staffed from 8:00 AM to 5:00 PM CST each weekday, excluding federal holidays.

- **Creating and managing a monthly electronic newsletter.** The Administrator will create, manage, and distribute an e-newsletter that will keep all participating states current on policy changes, new information, and updates to the UCR Plan. We expect that the newsletter will need to be monthly for at least the first year of the Administrator's contract, as the UCR Board will be creating and establishing new policies and procedures for administration of the UCR Plan. The newsletter may be scaled back to bi-monthly at some point after the first year.
- **Maintaining depository records and developing a records retention policy.** The UCR Board currently has no established records retention policy. As a result, the UCR Board currently maintains a combination of hard copies and electronic depository records, many of which may be outdated and/or unnecessary. For reference/estimating purposes, the UCR Board estimates that the current hard copies of our depository records would fill 4 to 5 bankers' boxes; additional hard copy records would fill an addition 1 or 2 bankers' boxes.

Documents maintained by the UCR Board include:

- Financial records
- Meeting minutes
- Contracts
- UCR Agreement and UCR Board policies
- Other miscellaneous documents and agreements

The UCR Board expects that the Administrator will take the following steps to help establish a clear records retention procedure:

- 1) Review all existing documents (electronic and hard copies) maintained by the UCR Board.
- 2) Recommend a policy for electronic recordkeeping going forward, including but not limited to recommendations on what documents to keep, how long they should be kept, and how they will be stored and backed up.
- 3) Review all existing documents and get them up to date per the new policy. This may include shredding and disposing of unnecessary documents, storing and/or converting them to electronic format, and migrating and backing up electronic files as needed.

4) Maintain all records based on the newly established policies and procedures.

- **Compiling and submitting monthly financial, depository, and registration reports.** The Administrator will compile and submit any and all typical monthly financial reports to the UCR Board. Financial reports can be pulled from the Administrator's chosen software (i.e., QuickBooks, etc.)

Depository and registration reports include monthly budget reports, financial reports, and registration reports. Other reports may be required as deemed necessary. The UCR Board currently compiles these reports in Excel, but the UCR Board will leave it up to the Administrator to determine the best format and/or template.

- **Handling day-to-day accounting tasks.** The UCR Board currently relies on Jackson Thornton, an outside accounting firm, to provide consulting and handle all day-to-day bookkeeping and accounting tasks related to the Plan. We anticipate that the Administrator will take over many of the bookkeeping and accounting tasks that have been previously handled by Jackson Thornton.

The UCR Board will continue its relationship with Jackson Thornton to some degree, most likely in a consulting relationship. Jackson Thornton will also be responsible for ensuring, at a high level, that all accounting practices are in line with best practices.

When the contract begins, the Administrator will be expected to work directly with Jackson Thornton to transition accounting and bookkeeping duties. Jackson Thornton uses QuickBooks, but as they can support a number of different systems, the Administrator is not required to use QuickBooks, and migrating the data to a system other than QuickBooks does not present a problem.

The Administrator will be expected to have a strong finance or accounting background and be familiar with generally accepted practices, accounting and financial reporting, and management.

- **Collecting and distributing monthly revenues from and to participating states.** The Administrator will take over all collection and distribution activities now being handled by the UCR Board. The Administrator can expect approximately 100 transactions per month (about 3 transactions per state, per month). States are invoiced monthly, and they pay by check or electronic funds transfer (EFT).

- **Processing travel reimbursement.** The UCR Board currently uses Concur to handle all UCR Board and subcommittee members' travel expenses. The Administrator will take over the entire travel expense review and authorization process, including reviewing all requests filed on Concur, authorizing the payment, and disbursing reimbursement.

### **3. Policy Recommendation**

The Administrator will work directly with UCR Board members and subcommittees to recommend and create policies and procedures necessary for the administration of the UCR Plan. Policies and procedures are currently under development, and we anticipate significant Administrator input as the UCR Board continues development and implementation.

Policies in most need of development/of greatest concern include:

- Compliance auditing
- Financial auditing
- Procurement
- Conflict of interest
- Records retention

After the highest-priority policies are in place, the UCR Board will look to the Administrator to recommend new policies or updates to existing policies on their own initiative.

As mentioned previously, the Administrator will also be responsible for creating and distributing a monthly e-newsletter to keep participating states up to date and informed of any new policies or changes to existing policies.

### **4. Auditing**

As noted above, the UCR Board is still in the process of developing and implementing auditing policies in support of the Plan, and will expect the Administrator's support and recommendations to put all auditing policies in place. The UCR Board will expect the Administrator to provide assistance and support with two types of audits:

- **Compliance auditing.** Once policies have been established and implemented, the Administrator will be responsible for conducting compliance audits to ensure all participating states are in compliance with the UCR Agreement.
- **Financial auditing.** There are currently 6 states that have their own registration system in addition to IDOR, and the UCR Board is in the process of developing an auditing policy for those states and IDOR. Once a financial auditing policy has been developed and implemented

with the assistance of the Administrator, the UCR Board will look to the Administrator to engage one or more outside accounting firm(s) to conduct all financial audits.

At this time, the UCR Board does not anticipate that the Administrator will have a role in auditing individual carriers.

**5. Organizing, Coordinating, and Preparing Meeting Minutes**

The Administrator will be responsible for organizing 10 to 12 UCR Board meetings per year. Typically, 2 to 4 of these meetings are in person; the rest are conducted by telephone. The UCR Board also allows participants to participate through video conferencing.

As of January 2017, meeting dates are as follows:

| <b>Date</b>       | <b>Location</b> | <b>In-person or Teleconference?</b> |
|-------------------|-----------------|-------------------------------------|
| March 14, 2017    | N/A             | Teleconference                      |
| April 27-28, 2017 | Atlanta, GA     | In-person                           |
| June 4-7, 2017    | Santa Fe, NM    | In-person                           |

In addition to the above scheduled meetings, an additional telephone/teleconference meeting is expected in May 2017.

Please note, some subcommittees will require additional telephone and in-person meetings throughout the year. Requirements for subcommittee meeting attendance will be determined by the subcommittee chair. For telephone meetings, the Administrator will notify the UCR Board and subcommittee members of meetings and set up a dedicated teleconference/WebEx line.

*NOTE: The UCR Board currently uses Citrix for all WebEx and teleconference services, but our contract is set to expire by the start of the Administrator's contract. The UCR Board will consider other providers in accordance with the Administrator's recommendations.*

For on-site meetings, the UCR Board expects the Administrator will be responsible in an "all-hands-on-deck" capacity and available to handle all related logistics, including but not limited to:

- Finding an appropriate meeting location, such as a hotel or conference center
- Booking a conference room and arranging for all necessary technology, including telephone linkups and A/V equipment
- Handling any additional requirements, such as arranging for delivery of meals

*NOTE: Currently, 2 of the UCR Board's in-person meetings are held in conjunction with NCSTS meetings; therefore, most of the meeting planning is handled by NCSTS. In these cases, the Administrator would have a greatly reduced role in planning and logistics, although they would be expected to attend the meetings and work directly to support NCSTS as needed.*

In addition to arranging all UCR Board and subcommittee meetings, the Administrator will be required to attend and take minutes, track and log all UCR Board votes, and keep a record of all resolutions passed by the UCR Board. Meeting minutes are currently hosted on the National Conference of State Transportation Specialists (NCSTS) website (click [here](#) for past minutes), but after the development of the new UCR website, all minutes will be migrated to the appropriate section of the new website.

All UCR Board meetings are open pursuant to federal statute, and the Administrator will also be required to coordinate the announcement of all meetings in the Federal Register.

### **6. Management and Administration of Operating Funds**

The current system is driven primarily by UCR Board resolutions to expend funds and by some subcommittee budgets. The UCR Board requires assistance in analyzing past expenditures and projected revenues, and developing fiscal policies and comprehensive budgets for future years.

### **7. Supporting Revenue and Fee Subcommittee**

The Administrator will work directly with the Revenue and Fee Subcommittee to analyze and determine whether an annual fee adjustment is necessary.

There has been one fee adjustment since the program began in 2007. The UCR Board has recommended a 2018 fee adjustment. The UCR Board anticipates the possibility of annual fee adjustments for the next several years.

Input/resources used to consider fee adjustments include:

- Registration totals
- Revenue collections
- Budget requirements

- Expenditures

### **8. Manage Relationships with Existing Outside Vendors**

The Administrator will be expected to represent the UCR Board and manage relationships with all of the UCR Board's existing vendors, including:

- **Bank of North Dakota.** The UCR Board desires to maintain its current banking relationship with this bank, which is the UCR Board's primary bank. The Administrator will represent the UCR Board and handle all banking transactions with the Bank of North Dakota; occasional travel for on-site meetings may be required.

In addition to the primary account with the Bank of North Dakota, the UCR Board maintains an account with another bank. We keep a small balance in this account and have an associated debit card that we use to handle expenses requiring a debit/credit card. The UCR Board is open to proposals regarding the small account, if the Administrator wants to use an alternative bank.

- **Indiana Department of Revenue (IDOR).** The Indiana Department of Revenue operates and maintains the national online registration system where motor carriers can self-register and pay online or through a mobile app. IDOR also operates and maintains a depository management system that manages the flow of funds into and out of the depository. The IDOR system is used by 35 of the 41 states participating in the UCR Plan for reporting registrations completed by state staff. The Administrator will become the representative of the UCR Board under the agreement with IDOR for all matters pursuant to this agreement. The Administrator will be a daily user of the depository management system and will interact with IDOR on a daily basis.
- **Iteris.** Iteris provides web-based data and tools to the UCR Board and participating states, to include carrier registration and other data, various reports, and an email engine through which carriers may be contacted. The Administrator will become the UCR Board's representative in all matters involving the relationship with Iteris pursuant to the contract. The Administrator would be a regular, if not daily, user of Iteris.
- **Bradley Arant Boult Cummings, LP.** Bradley provides legal counsel to the UCR Board. We anticipate that the Administrator would work with Bradley as needed, to address any legal issues related to the UCR Plan.

- **Jackson Thornton.** As mentioned in the Scope of Work, Jackson Thornton currently provides a full range of accounting and bookkeeping services to the UCR Board. The UCR Board anticipates that this relationship will continue in some manner, but the UCR Board also anticipates that the Administrator will take over all of the bookkeeping and some accounting tasks that have been previously handled by Jackson Thornton.
- **Concur Solutions.** Concur handles travel reimbursement filing for UCR Board-related travel. The UCR Board anticipates continuing this relationship, at least in the near term.
- **Citrix.** Citrix currently provides teleconference and WebEx services to the UCR Board. We would consider using another provider after the expiration of our current commitment.
- **DSL Transportation Services, Inc.** DSL provides general management consulting services to the UCR Board. We anticipate that most of the services currently provided by DSL would be provided by the Administrator. A more limited or different role for DSL may be considered.



## **Response Requirements and Format**

All interested vendors should respond to this RFP by submitting information provided to the UCR Board regarding capabilities, service offerings, and tools available to support the Scope of Work as described above.

Responses to this RFP should provide a thorough overview of Administrator capabilities, not to exceed 25 pages (formatted in 12-point font), exclusive of documentation and appendices.

Responses may be submitted in either DOC or PDF files.

With the exception of the information to be supplied in the appendices, the response proposal should provide the following information in the order listed below:

### ***Cover Letter***

Include a cover letter that provides a brief overview of your firm's qualifications and identifies the person who will act as the single point of contact during the selection process. Include the main contact's name, phone number, email address, and the location and address of his or her office.

The cover letter should also include a statement to the effect that your proposal will remain valid for at least 90 days from the date of submission date.

### ***Table of Contents***

Please include a table of contents that clearly identifies all parts of your proposal by section and page number.

### ***Company Overview***

An overview of your firm includes the following information:

- Company history, including years in business and growth milestones
- Information about any relevant awards, licenses, or certifications
- The location of your firm's headquarters and any satellite offices
- The location in which you expect to perform the day-to-day tasks associated with this contract

### ***Part 1: Experience and Stability***

- 1. Relevant Experience and References.** Please provide a minimum of 3 examples of similar projects your firm has completed in the past 5 years. Include a name and contact information for a representative who can discuss the project.

## **2. Financial Standing and Bonding**

- a.** Provide a general description of your firm's financial condition and identify any conditions – such as bankruptcy, pending litigation, planned office closures, impending mergers, etc. – that may affect your firm's ability to perform the tasks outlined in the Scope of Work.
  - In the appendix of this proposal, please include your firm's financial statements for the past 3 years.
- b.** In the appendix, please provide up-to-date copies of your firm's proof of insurance and bonding.

## ***Part 2: Technical Proposal***

### **1. Implementation and Approach**

- a.** What is your firm's proposed implementation and transition plan? Please include a suggested timeline for implementation.
- b.** What are your reporting capabilities? How does your firm typically handle financial reporting?
- c.** Describe your experience in policy creation. How would your firm help the UCR Board create policies?
- d.** Describe any tools or processes your firm uses to streamline communications between administrative team, stakeholders, UCR Board members, task forces, and subcommittees.
- e.** Describe your firm's capabilities and experience in creating monthly or quarterly newsletters, e-newsletters, or similar communications.
  - In the Appendix of this proposal, please include 2 to 3 samples of newsletters (or similar products) that your firm has produced for other clients.
- f.** Describe your firm's capabilities to travel and perform work on-site at various UCR member locations.
- g.** Describe how you would handle the audit functions for all UCR systems.
- h.** What would be your standard process for transitioning out of administrative duties, either to return duties to the UCR Board or to engage another firm?
- i.** Please describe your proposed plan and timeline for the development and launch of a 5- to 7-page static UCR website as described in item #1 of the Scope of Work.
  - In the Appendix of this proposal, please submit links and/or screenshots of 3 to 5 websites you have created for clients.
- j.** Please describe your capabilities for handling meeting logistics as outlined in item #5 of the Scope of Work.

## **2. Security/Data Integrity**

- a.** Please provide a detailed description of your firm's policies and procedures regarding security and data integrity.
- b.** Please describe, in detail, your firm's incident response plan: What policies and procedures does your firm have in place in the event of a data loss, hacking, breach, or other security incident?

## **3. Staffing Plan**

- a.** An organizational chart that includes the job titles of all team members who will be working on this project
- b.** A list of key personnel with a 1- to 2-paragraph corporate biography for each person listed
  - Please submit a current resume for each person on the key personnel list (resumes should be included in the Appendix of your proposal)
- c.** If you plan to use subcontractors for any of the work outlined in the Scope of Work, please submit the following information:
  - Each subcontractor's company name, physical address, telephone number, and email address
  - A brief description of your firm's experience working with the subcontractor
  - A brief list or description of the specific projects the subcontractor(s) will be working on for this contract
- d.** Hiring policies and procedures
- e.** Training policies and procedures
- f.** Background checks/screening
- g.** Location
  - The physical address of your firm's headquarters
  - Does your firm have an office in a state that participates in the UCR Plan? Please provide the physical address of this facility.

## **4. Pricing**

Due to the unique nature of this contract, the UCR Board has broken the pricing into two sections: Phase 1 and Phase 2. The tasks listed in Phase 1 are one-time transition and implementation jobs that will need to be completed before any of the general administrative work can begin. Phase 2 is a much broader category that includes day-to-day administrative functions.

Please fill out the tables below, providing your best estimate for the amount of time the project would take, the work hours, and the total cost.

| <b>Phase 1: Transition and Implementation</b>  |   |   |             |
|--|---|---|-------------|
| <b>Task</b>  | <b>Estimated completion time (i.e., 3 months, 5 months, etc.)</b>   | <b>Estimated hours to complete work (if applicable)</b> | <b>Cost</b> |
| Project management of all first-year upgrades and enhancements to IDOR online registration system and depository management system<br><br>(This includes approximately 4 to 6 trips to Indiana for project management and testing as needed) | <i>NOTE: The UCR Board estimates that upgrades and enhancements will be ongoing for the first year of the contract.</i> |   |             |
| Development of a static, 5- to 7-page UCR website; migrating all documents from NCSTS site to new site   |   |   |             |
| Establish/launch a monthly newsletter  |   |   |             |
| Policy development: Records retention, auditing, procurement, and conflict of interest   |   |   |             |
| Reviewing and updating backlog of records per the new records retention policy   |   |   |             |
| Miscellaneous tasks (please describe)  |   |   |             |
| <b>Total:</b>  |   |   |             |

| <b>Phase 2: Ongoing/Day-to-Day Operations</b>   |                                  |   |                         |
|---|----------------------------------|---|-------------------------|
| <b>Task</b>   | <b>Estimated completion time</b> | <b>Estimated hours to complete work (if applicable)</b> | <b>Cost per quarter</b> |
| General administrative tasks, including but not limited to: <ul style="list-style-type: none"> <li>▪ Communication</li> <li>▪ Records management</li> <li>▪ Monthly reporting</li> <li>▪ Day-to-day accounting</li> <li>▪ Collection and distribution activities</li> </ul> | N/A; ongoing                     | N/A; ongoing  |                         |
| Routine maintenance and administration of new UCRA website  |                                  |   |                         |
| Production and distribution of monthly newsletter   |                                  |   |                         |
| Ongoing policy-related tasks, including, but not limited to: <ul style="list-style-type: none"> <li>▪ Updating or revising policies</li> <li>▪ Auditing activities</li> <li>▪ Policy-related communications with participating states</li> </ul>                            |                                  |   |                         |
| Meeting organization and coordination   |                                  |   |                         |
| Routine/ongoing administration, upgrades, and project management of IDOR  |                                  |   |                         |
| Auditing and/or coordinating auditing activities  |                                  |   |                         |
| Miscellaneous expenses (please describe)  |                                  |   |                         |
| <b>Total per quarter:</b>   |                                  |   |                         |

**Appendices:**

Please submit the following documents in an appendix:

- A. Key personnel resumes
- B. Insurance/bonding documentation
- C. Financial reports
- D. Samples of newsletters (or similar client communications) created by your firm
- E. Samples/links to websites created by your firm