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<http://fiscal.gmu.edu/purchasing/>



REQUEST FOR PROPOSALS GMU-1646-20

ISSUE DATE: March 04, 2020

TITLE: Research Administration Software System

PRIMARY PROCUREMENT OFFICER: Katherine Sirotin, Assistant Director, ksirotin@gmu.edu
SECONDARY PROCUREMENT OFFICER: Michele Rogers, Senior Buyer, mroger19@gmu.edu

QUESTIONS/INQUIRIES: E-mail all inquiries to both Procurement Officers listed above, no later than 4:00 PM EST on March 10, 2020. **All questions must be submitted in writing via e-mail.** Responses to questions will be posted on the [Mason Purchasing Website](#) by 5:00 PM EST on March 12, 2020. Note: Questions must be submitted via email and reference the words "Question" and "RFP GMU-1646-20" in the Subject Line of the email. Failure to include these keywords may result in your Question not being received and answered. The offeror is responsible for confirming that their Questions were received by Mason. Mason is not responsible for any emails that fail to send or be received due to size, firewalls, network/connectivity issues, etc.

PROPOSAL DUE DATE AND TIME: March 23, 2020 @ 2:00 PM EST. Hand deliver or mail proposals directly to the address above. Electronic submissions will not be accepted. A public opening will not be held. Late proposals will not be accepted.

Note: A return envelope is not being provided. It is the responsibility of the Offeror to ensure the proposal is submitted in a sealed envelope, box, container, etc. that clearly identifies the contents as a proposal submission in response to this Request for Proposal. See Section XIII Paragraph C herein. If delivering proposals by hand, deliver to the Purchasing Department located in Suite 4200 of Alan and Sally Merten Hall (Merten Hall), Fairfax Campus. [Campus Map](#). Office hours are 8:30AM to 5:00PM.

In Compliance With This Request For Proposal And To All The Conditions Imposed Therein And Hereby Incorporated By Reference, The Undersigned Offers And Agrees To Furnish The Goods/Services In Accordance With The Attached Signed Proposal Or As Mutually Agreed Upon By Subsequent Negotiations.

Name and Address of Firm:

Legal Name: _____

Date: _____

DBA: _____

Address: _____

By: _____
Signature

FEI/FIN No. _____

Name: _____

Fax No. _____

Title: _____

Email: _____

Telephone No. _____

SWaM Certified: Yes: _____ No: _____ (See Section VII. SWaM CERTIFICATION for complete details).

SWaM Certification Number: _____

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

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- I. **PURPOSE:** The purpose of this Request for Proposal (RFP) is to solicit sealed proposals to establish a contract through competitive negotiations with one or more qualified vendors to a Research Administration Software System for the Research Administration Department of George Mason University (herein after referred to as “Mason,” or “University”). George Mason University is an educational institution and agency of the Commonwealth of Virginia.
- II. **PURCHASING MANUAL/GOVERNING RULES:** This solicitation and any resulting contract shall be subject to the provisions of the Commonwealth of Virginia *Purchasing Manual for Institutions of Higher Education and their Vendor's*, and any revisions thereto, and the *Governing Rules*, which are hereby incorporated into this contract in their entirety. A copy of both documents is available for review at: <https://vascupp.org>
- III. **COMMUNICATION:** Communications regarding the Request For Proposals shall be formal from the date of issuance until a contract has been awarded. Unless otherwise instructed offerors are to communicate with only the Procurement Officers listed on the cover page. Offerors are not to communicate with any other employees of Mason.
- IV. **FINAL CONTRACT:** ATTACHMENT B to this solicitation is Mason’s standard two-party contract. It is the intent of this solicitation to base the final contractual documents off of Mason’s standard two-party contract and Mason’s General Terms and Conditions. Any exceptions to our standard contract and General Terms and Conditions should be denoted in your RFP response. Other documents may be incorporated into the final contract, either by way of attachment or by reference, but in all cases this contract document and Mason’s General Terms and Conditions shall jointly take precedence over all other documents and will govern the terms and conditions of the contract.
- V. **ADDITIONAL USERS:** It is the intent of this solicitation and resulting contract to allow for cooperative procurement. Accordingly, any public body, public or private health or educational institutions, or affiliated corporations may access any resulting contract if authorized by the contractor.

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

The University may require the Contractor provide semi-annual usage reports for all entities accessing the contract. The University shall not be held liable for any costs or damages incurred by any other participating entity as a result of any authorization by the Contractor to extend the contract. It is understood and agreed that the University is not responsible for the acts or omissions of any entity and will not be considered in default of the contract no matter the circumstances.

Use of this contract(s) does not preclude any participating entity from using other contracts or competitive processes as needed.

- VI. **eVA BUSINESS-TO-GOVERNMENT VENDOR REGISTRATION:** The eVA Internet electronic procurement solution, website portal www.eVA.virginia.gov, streamlines and automates government purchasing activities in the Commonwealth. The eVA portal is the gateway for vendors to conduct business with state agencies and public bodies. All vendors desiring to provide goods and/or services to the Commonwealth shall participate in the eVA Internet eProcurement solution by completing the free eVA Vendor Registration. All bidders or offerors agree to self-register in eVA and pay the Vendor Transaction Fees prior to being awarded a contract. Registration instructions and transaction fees may be viewed at: <https://eva.virginia.gov/>
- VII. **SWaM CERTIFICATION:** Vendor agrees to fully support the Commonwealth of Virginia and Mason’s efforts related to SWaM goals. Upon contract execution, eligible vendors (as determined by Mason and the Virginia Department of Small Business and Supplier Diversity) shall submit all required documents necessary to achieve SWaM certification to the Department of Small Business and Supplier Diversity within 90 days. Vendors currently SWaM certified agree to maintain their certification for the duration of the contract and shall submit all required renewal documentation at least 30 days prior to existing SWaM expiration. <https://www.sbsd.virginia.gov/>
- VIII. **SMALL BUSINESS SUBCONTRACTING PLAN:** In accordance with Executive Order 35 it is the goal of the Commonwealth that over 42% of its purchases be made from small businesses. All potential offerors are required to fill out and submit Attachments A with their proposal.

IX. PERIOD OF PERFORMANCE: One (1) year from date of award with nine (9) successive one-year renewal options (or as negotiated).

X. BACKGROUND:

1. About George Mason University

George Mason University (“Mason”) is the largest public research university in Virginia, serving more than 38,000 students from all States and over 130 countries. Our identity was forged in 1972 building upon Virginia's strong ideals of academic excellence and service. Today, that spirit energizes us as a leader in scholarship and research and strengthens our commitment to prepare career-ready graduates who are able to meet the complex needs of a rapidly changing world. As Virginia’s largest public research intensive (R1) university, we set the standard for a bold, progressive education that serves our students and communities. As a public, comprehensive, research university established by the Commonwealth of Virginia in the National Capital Region, our mission is to be an innovative and inclusive academic community committed to creating a more just, free, and prosperous world. In short, Mason seeks to be the best university *for* the world.

2. About Mason Research

Mason is ranked among the top research institutions in the country by the Carnegie Classification of Institutions of Higher Education; earning the “very high research activity” ranking, also known as Research 1 or R1, for the first time in 2016. Three years later, the university was reaffirmed an R1 institution in the 2019 rankings. Mason is the youngest university among the 130 R1 institutions in the US.

Mason faculty, students and trainees are making discoveries that have great societal and economic impact. For example, you will find research teams on one or more of our campuses who are: helping us better understand the nature of black holes in distant galaxies; developing new treatments for cancer; working with area high school trainers to detect and treat student athlete concussions; equipping K-12 teachers and students with the advanced computational thinking competencies they need to thrive in digital society; and, exploring approaches to resolve conflict in conflict-ridden parts of the world. Our University is ranked in the top 10 institutions in the US receiving support from the National Endowment for the Humanities over the last 10 years, four of our faculty won coveted CAREER awards from the National Science Foundation in FY 2019, and we lead the national DHS Center of Excellence in Criminal Investigations and Network Analysis. Since FY 2016, we have established three multidisciplinary research institutes – the Institute for Biohealth Innovation, the Institute for a Sustainable Earth and the Institute for Digital Innovation – to help our faculty connect with one another and with collaborators and sponsors outside the University to strengthen and grow our research stature as a leading public research university. Mason’s research and scholarship outlook is strong.

In recent years, Mason’s research portfolio has experienced significant growth in proposal, award and expenditure levels. From FY17 to FY19 proposal dollars increased 90%, award dollars increased 64% and expenditure dollars increased 43%. You can find more details about the Mason sponsored research portfolio at <https://osp.gmu.edu/annual-reports/>

3. Project Background and Request

As research activity at Mason has increased, the procedural and technical capabilities to support the research enterprise become increasingly important. The Office of Research and other units on campus have created a variety of systems to manage the research and compliance portfolio. These systems are not integrated, many are outdated, currently at their capacity, and are not sustainable. Shadow systems, paper forms, and duplicate data entry increases the opportunity for errors and creates inefficient and ineffective processes.

Mason is looking to implement a scalable, pre-award, non-financial post-award, and regulatory and research compliance software system. This system will replace some existing systems and work-around processes, and it must integrate with existing operational systems, including, but not limited to, the university’s systems of record.

Mason seeks a professional and knowledgeable consulting and/or technology organization that can provide comprehensive services related to the functional assessments, technical assessments, business process assessments, timeline planning, change management, business process redesign, and technology implementation of a multi-faceted system for research administration. Key areas to be addressed by one software solution, are expected to include, but may not be limited to, the following:

- Proposal Development and Submission
- Award and Contract Management
- Managing Conflicts of Interest and Commitment

- Institutional Review Board
- Institutional Animal Care and Use Committee
- Export Control
- Responsible Conduct of Research

It is possible that the adoption and implementation of various modules / functionalities could be implemented over several years.

Fundamental functional areas and business requirements can be found in Appendix A. In addition, a summary of representative existing, research-related Mason systems is provided in Appendix B.

XI. STATEMENT OF NEEDS: Mason is seeking a professional, qualified, and knowledgeable consulting and/or technology organization that can provide comprehensive services related to the functional assessments, technical assessments, business process assessments, timeline planning, change management, business process redesign, and technology implementation of a multi-faceted system for research administration. Key areas to be addressed by one software solution, are expected to include, but may not be limited to, the following:

- Proposal Development and Submission
- Award and Contract Management
- Managing Conflicts of Interest and Commitment
- Institutional Review Board
- Institutional Animal Care and Use Committee
- Export Control
- Responsible Conduct of Research

It is possible that the adoption and implementation of various modules / functionalities could be implemented over several years.

Fundamental functional areas and business requirements can be found in Appendix A. In addition, a summary of representative existing, research-related Mason systems is provided in Appendix B.

A. Expected Scope of Services:

This project is expected to be executed in various phases, responsive to meeting the critical needs described in the text above. Offerors should prepare their proposals to address our needs, delineating how they will provide services along a timeline. The budget should be structured to reflect total costs and costs for services proposed.

Key areas to be addressed by the proposed approach are expected to include, but may not be limited to, the following:

- Description of software tool(s) proposed.
- Description of business process redesign, change management, and related consulting approaches.
- Description of how business process redesign will align with proposed tools, along both functional and technical requirement elements.
- Recommendations regarding operational and technical implementation.
- Description of how the offeror will integrate proposed solutions with current systems or transition smoothly from current systems.
- Full timeline proposed, through implementation phases.

Offerors are expected to provide a detailed approach, including estimated hours and rates (and other, relevant expenses) for each Workstream along with supporting justification.

XII. PRICING/ COST OF SERVICES: Provide detailed pricing for any systems/software, consulting/services, training, travel, etc. and include the following:

- Please provide and break out separately all one-time and recurring costs associated with your offered solution/system. Offerors should provide costs for implementation, support, training, development, and maintenance costs. Your pricing/cost of services quoted should be inclusive of all associated costs for this system/solution/service.
- If there are any discounts available for volume, multi-year commitments, enterprise wide licensing, etc. please make sure to clearly state those in your proposal.
- Describe how you propose to handle any travel or out-of-pocket expenses related to provisions of these services.

Specifically address expenses for resources based in locations near Mason. As part of your offer (if travel reimbursement or travel fees/costs/expense are to be billed) your organization must agree to accept to be reimbursed in accordance with Mason's per diem policies/requirements (GSA per diem rates). Please clearly outline any travel requirements/costs/expenses in your offer.

XIII. PROPOSAL PREPARATION AND SUBMISSION REQUIREMENTS:

A. GENERAL REQUIREMENTS:

1. RFP Response. In order to be considered, Offerors must submit a complete response to Mason's Purchasing Office prior to the due date and time stated in this RFP. Offerors are required to submit **one (1)** signed original hardcopy (paper) of the entire proposal including all attachments and proprietary information and **six (6)** extra hardcopies (paper) including all attachments and proprietary information; for a total of seven (7) hardcopies (one (1) original copy for the procurement file and six (6) extra hardcopies).. In addition, the Offeror shall submit one (1) complete signed copy of the original proposal including all attachments and proprietary information, on CD, thumb drive or other electronic device. If proposal contains proprietary information, then submit two (2) CD's, thumb drive or other electronic device; one (1) with proprietary information included and one (1) with proprietary information removed (see also Item 2e below for further details). The Offeror shall make no other distribution of the proposals.
 - a. At the conclusion of the RFP process proposals with proprietary information removed (redacted versions) shall be provided to requestors in accordance with Virginia's Freedom of Information Act. Offerors will not be notified of the release of this information.
2. Proposal Presentation:
 - a. All Proposals must include the following:
 - Detailed approach, per above, supporting justification and timeline for providing required services.
 - Detailed description of the technical solution(s) offered.
 - Budgets (labor categories - hours and fees) by Workstream for proposed required services.)
 - Names and resumes/CVs of all team members plus general availability to be deployed.
 - Examples of at least 2-3 similar projects.
 - b. Proposals are not to exceed 20 pages (exclusive of title page, resumes/CVs, project examples, or appendices). Proposals should be as concise as possible while including all required information and supporting documentation. Proposals are to be single-spaced with a font of 11-point or larger.
 - c. Proposals shall be signed by an authorized representative of the Offeror. All information requested must be submitted. Failure to submit all information requested may result in your proposal being scored low.
 - d. Proposals should be prepared simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirement of the RFP. Emphasis should be on completeness and clarity of content.
 - e. Each hardcopy of the proposal should be bound in a single volume where practical. The original hard copy proposal must be clearly marked on the outside of the proposal. All documentation submitted with the proposal should be bound in that single volume.
 - f. Proposals should be organized in the order in which the requirements are presented in the RFP. All pages of the proposal should be numbered. Each paragraph in the proposal should reference the paragraph number corresponding section of the RFP. It is also helpful to cite the paragraph number, sub letter and repeat the text of the requirement as it appears in the RFP. The proposal should contain a table of contents which cross references the RFP requirements. Information which the Offeror desires to present that does not fall within any of the requirement of the RFP should be inserted at the appropriate place or be attached at the end of the proposal and designated as additional material.

A WORD version of this RFP will be provided upon request.

- e. Except as provided, once an award is announced, all proposals submitted in response to this RFP will be open to inspection by any citizen, or interested person, firm or corporation, in accordance with the Virginia Freedom of Information Act. Trade secrets or proprietary information submitted by a firm prior to or as part of its proposal will not be subject to public disclosure under the Virginia Freedom of Information Act only under the following circumstances: (1) the appropriate information is clearly identified by some distinct method such as highlighting or underlining; (2) only the specific words, figures, or paragraphs that constitute trade secrets or proprietary information are identified; and (3) a summary page is supplied immediately following the proposal title page that includes (a) the information to be protected, (b) the section(s)/page number(s) where this information is found in the proposal, and (c) a statement why protection is necessary for each section listed. The firm must also provide a separate electronic copy of the proposal (CD, etc.) with the trade secrets and/or proprietary information redacted. *If all of these requirements are not met, then the firm's entire proposal will be available for public inspection.*

IMPORTANT: A firm may not request that its entire proposal be treated as a trade secret or proprietary information, nor may a firm request that its pricing/fees be treated as a trade secret or proprietary information, or otherwise be deemed confidential. If after given a reasonable time, the Offeror refuses to withdraw the aforementioned designation, the proposal will be rejected.

3. Oral Presentation/System Demonstration: Offerors who submit a proposal in response to this RFP **may be** required to give an oral presentation/demonstration of their proposal/product to Mason. This will provide an opportunity for the Offeror to clarify or elaborate on their proposal. Performance during oral presentations may affect the final award decision. If required, oral presentations are tentatively scheduled for the weeks of **April 13, 2020 through April 24, 2020**. Mason will expect that the person or persons who will be working on the project to make the presentation so experience of the contractor's staff can be evaluated prior to making selection. Oral presentations are an option of Mason and may or may not be conducted; therefore, it is imperative all proposals should be complete
- B. SPECIFIC REQUIREMENTS: Proposals should be as thorough and detailed as possible to allow Mason to properly evaluate the Offeror's capabilities and approach toward providing the required services. Offerors are required to submit the following items as a complete proposal.

1. Procedural information:

- a. Return signed cover page and all addenda, if any, signed and completed as required.
- b. Return Attachment A - Small Business Subcontracting Plan.
- c. State your payment preference in your proposal response. (See section XVI.)
- d. Review and if necessary, provide any exceptions/red-lines to Mason's Attachment B – Sample Contract. It is the intent of this solicitation to base the final contractual documents off of Mason's standard two-party contract and Mason's General Terms and Conditions. If you intend to amend our contract to include your Master Software/Services Agreement or any additional terms and conditions, please provide a copy of that document.
 - Note: As an entity of the Commonwealth of Virginia (a government agency) - Mason cannot indemnify a vendor, waive our sovereign immunity, agree to the Governing Law of another state, or limit a vendor's liability in instances of negligence, death/loss of life, or in instances where negligence on the part of the vendor leads to a data breach where sensitive/personally confidential information is lost. Please take this into consideration when submitting your terms and conditions/MSA/or redlining Mason's contract.\
 - Untimely delay or failure to reach an acceptable agreement/contract may result in Mason rejecting your offer.
- e. Provide your organization's VPAT (this can be attached as an Appendix and will not count towards your Proposal page limit.)

2. General firm background and information:

- a. Provide a background and a brief history of your firm.
- b. Describe your firm's specialty areas, and their size.
- c. Describe your firm's location and organization structure. Provide additional detail related to offices likely to serve Mason.

3. Proposal – Technical and Functional Elements of Proposed Software Solution (s):

- a. Demonstrate, in detail, your ability to meet Mason's Statement of Needs/requirements. This should include technical and functional elements of the proposed solution/system and provide detailed explanations, examples, specifications, or other relevant information.
 - Provide a detailed approach, per the Statement of Needs, supporting justification and timeline for providing required goods/services.
 - Provide a detailed description of the technical solution(s) being offered and clearly demonstrate your solution/systems technical capabilities.
 - If your solution/system does not currently meet certain requirements, please clearly state which requirements you cannot meet. If there is a roadmap/future capabilities please provide a timeline and outline what those capabilities are.
 - If your system has additional, related, capabilities, that are not outlined in Mason's requirements/scope of work, clearly outline what those are and how they may meet current or future needs/requirements.
- b. Outline your proposed consulting and project approach to meet Mason's Statement of Needs/Requirements.
- c. Outline your firm's experience and capabilities:
 - Describe the nature and extent of your expertise with higher education, research-oriented, or similarly-situated clients, including related information technology environments (including Banner, Blackboard, DataMart (which is used by Mason) or something similar.
 - Describe the nature and extent of your expertise with providing a research administration technology solution/system and services to clients similarly-situated to Mason. Preferably in large research universities.
 - Describe any impending changes in your organization that could impact delivery of services.
- d. Outline in detail the experience and capabilities of proposed team members including the names and resumes/CVs of all team members plus general availability to be deployed
- e. Provide Examples of at least 2-3 similar projects your firm/organization has undertaken (similar is size/scope/requirements to Mason).

4. Pricing/Costs: Please provide pricing for any systems/software, service, training, travel, etc. and include the following:

- a. Please provide and break out separately all one-time and recurring costs associated with your offered solution/system. Offerors should provide costs for implementation, support, training, development, and maintenance costs. Your pricing/cost of services quoted should be inclusive of all associated costs for this system/solution/service.
- b. If there are any discounts available for volume, multi-year commitments, enterprise wide licensing, etc. please make sure to clearly state those in your proposal.
- c. Describe how you propose to handle any travel or out-of-pocket expenses related to provisions of these services. Specifically address expenses for resources based in locations near Mason. As part of your offer (if travel reimbursement or travel fees/costs/expense are to be billed) your organization must agree to accept to be reimbursed in accordance with Mason's per diem policies/requirements (GSA per diem rates). Please clearly outline any travel requirements/costs/expenses in your offer.

5. References:

No fewer than three (3) that demonstrates the Offeror's qualifications preferably from other comparable higher education institutions your firm is/has provided services with which are similar in size and scope to that which has been described herein.

- a. Provide references on no more than three (3) relevant active contracts (minimum contract period: one year) or completed contracts within the last three (3) years. Relevant contracts are defined as contracts for services of the same size and scope contemplated herein. The

university will focus on information that demonstrates quality of performance relative to the size and complexity of the contract. For each reference provide a brief description of the scope of the contract and state why the contract is relevant. Offerors should identify problems, weaknesses and/or deficiencies in the performance of the contracts given as references and their processes, corrective actions or method of problem solving resolution used to correct the weaknesses or deficiencies. For each reference provide the following information about each contract.

- i. Name and address of contracting activity to which service is/was provided
- ii. Contract Number
- iii. Contract Title
- iv. Contract Type
- v. Original contract amount and current (or ending) contract amount.
(explain reasons for any difference)
- vi. Contracting officials' names, telephone numbers
- vii. Contract Level (Prime or Subcontract)
- viii. Award Date
- ix. Contract completion/projected completion date

- b. Provide a list of any active contract(s) terminated within the past five (5) years for other than convenience of the owner. If none, state.

C. **IDENTIFICATION OF THE PROPOSAL ENVELOPE:** Return envelopes are not being provided. It is the responsibility of the Offeror to clearly mark submission envelopes identifying the contents as a response to this Request For Proposal as follows:

FROM: Name of Offeror _____ Due Date/Time: **March 23, 2020 @ 2:00PM EST**

Street or Box Number _____ RFP Number: **GMU-1646-20**

City, State, Zip Code _____ RFP Title: **Research Administration Software System**

Name of Procurement Officer or Buyer: **Katherine Sirotin, Assistant Director, Purchasing**

The envelope or package should be addressed to the Issuing Agency as directed on Page 1 of the solicitation. If a proposal is mailed, the Offeror takes the risk that the envelope/package, even if marked as described above, may be inadvertently opened and the information compromised which may cause the proposal to be disqualified. Proposals may be hand delivered to the designated location in the office issuing the solicitation. No other correspondence or other bid/proposal should be placed in the envelope.

XIV. INITIAL EVALUATION CRITERIA AND SUBSEQUENT AWARD:

- A. **INITIAL EVALUATION CRITERIA:** Proposals shall be initially evaluated and ranked using the following criteria:

<u>Description of Criteria</u>	<u>Maximum Point Value</u>
1. Technical and Functional Elements of Proposed Software Solution	25
2. Quality of Proposed Consulting and Project Approach	15
3. Prior relevant experience in similar ventures, preferably in large research universities	20
4. Experience and capabilities of proposed team members	20
5. Price	15
6. Offeror is a certified Small, Minority or Women-owned business (SWaM) with Commonwealth of Virginia SBSD at the proposal due date & time.	5

Total Points Available:

100

- B. **AWARD:** Following the initial scoring by the evaluation committee, at least two or more top ranked offerors may be contacted for oral presentations/demonstrations or advanced directly to the negotiations stage. ***If oral presentations are conducted Mason will then determine, in its sole discretion, which vendors will advance to the negotiations phase.*** Negotiations shall then be conducted with each of the offerors so selected. Price shall be considered, but need not be the sole determining factor. After negotiations have been conducted with each offeror so selected, Mason shall select the offeror which, in its sole discretion has made the best proposal, and shall award the contract to that offeror. When the terms and conditions of multiple awards are so provided in the Request for Proposal, awards may be made to more than one offeror. Should Mason determine in writing and in its sole discretion that only one offeror has made the best proposal, a contract may be negotiated and awarded to that offeror. Mason is not required to furnish a statement of the reasons why a particular proposal was not deemed to be the most advantageous (*Governing Rules §49.D*).

XV. **CONTRACT ADMINISTRATION:** Upon award of the contract, Mason shall designate, in writing, the name of the Contract Administrator who shall work with the contractor in formulating mutually acceptable plans and standards for the operations of this service. The Contract Administrator shall use all powers under the contract to enforce its faithful performance. The Contract Administrator shall determine the amount, quality and acceptability of work and shall decide all other questions in connection with the work. All direction and order from Mason shall be transmitted through the Contract Administrator, or their designee(s) however, the Contract Administrator shall have no authority to approve changes which shall alter the concept or scope of the work or change the basis for compensation to the contractor.

XVI. **PAYMENT TERMS / METHOD OF PAYMENT:**

PLEASE NOTE: THE VENDOR MUST REFERENCE THE PURCHASE ORDER NUMBER ON ALL INVOICES SUBMITTED FOR PAYMENT.

Option #1- Payment to be mailed in 10 days-Mason will make payment to the vendor under 2%/10 Net 30 payment terms. Invoices should be submitted via email to the designated Accounts Payable email address which is acctpay@gmu.edu.

The 10 day payment period begins the first business day after receipt of proper invoice or receipt of goods, whichever occurs last. A paper check will be mailed on or before the 10th day.

Option #2- To be paid in 20 days. The vendor may opt to be paid through our Virtual Payables credit card program. The vendor shall submit an invoice and will be paid via credit card on the 20th day from receipt of a valid invoice. The vendor will incur standard credit card interchange fees through their processor. All invoices should be sent to:

George Mason University
Accounts Payable Department
4400 University Drive, Mailstop 3C1
Fairfax, Va. 22030
Voice: 703.993.2580 | Fax: 703.993.2589
e-mail: AcctPay@gmu.edu

Option#3- Net 30 Payment Terms. Vendor will enroll in Paymode-X where all payments will be made electronically to the vendor's bank account. For additional information or to sign up for electronic payments, go to <http://www.paymode.com/gmu>. There is no charge to the vendor for enrolling in this service.

Please state your payment preference in your proposal response.

XVII. **SOLICITATION TERMS AND CONDITIONS:**

- A. **GENERAL TERMS AND CONDITIONS – GEORGE MASON UNIVERSITY:**
<http://fiscal.gmu.edu/purchasing/do-business-with-mason/view-current-solicitation-opportunities/>
- B. **SPECIAL TERMS AND CONDITIONS – GMU-1646-20.** (Also see ATTACHMENT C – SAMPLE CONTRACT which contains terms and conditions that will govern any resulting award).
1. **BEST AND FINAL OFFER (BAFO):** At the conclusion of negotiations, the Offeror(s) may be asked

to submit in writing, a best and final offer (BAFO). After the BAFO is submitted, no further negotiations shall be conducted with the Offeror(s).

2. **COMPLIANCE WITH LAW: (If Applicable):** All goods and services provided to George Mason University shall be done so in accordance with any and all local, state and federal laws, regulations and/or requirements. This includes any applicable provisions of FERPA or the "Government Data Collection and Dissemination Practices Act" of the Commonwealth of Virginia.
3. **CONFLICT OF INTEREST:** By submitting a proposal the contractor warrants that he/she has fully complied with the Virginia Conflict of Interest Act; furthermore certifying that he/she is not currently an employee of the Commonwealth of Virginia.
4. **LATE PROPOSALS:** To be considered, proposals must be received at the specific office location specified in this solicitation on or before the date and time designated in this solicitation.

Offerors are responsible for the delivery of the proposal and if using U.S. Mail or a delivery service should ensure that the proposal is addressed properly. Proposals are due at 2:00PM on the date specified on the cover page of this solicitation. The Purchasing Department will contact the Offeror to arrange for pick up or destruction of the late proposal. The official time used in receipt of proposals shall be the time on the automatic time stamp machine of Mason's Purchasing Office, address and location on cover page of solicitation.

George Mason University is not responsible for delays in the delivery of mail by the U.S. Postal Service, private couriers, or the intra-university mail system. It is the responsibility of the Offeror to ensure that its proposal reaches the issuing office by the designated date and hour.

5. **OBLIGATION OF OFFEROR:** It is the responsibility of each Offeror to inquire about and clarify any requirements of this solicitation that is not understood. Mason will not be bound by oral explanations as to the meaning of specifications or language contained in this solicitation. Therefore, all inquiries must be in writing and submitted as instructed on page 1 of this solicitation. By submitting a proposal, the Offeror covenants and agrees that they have satisfied themselves, from their own investigation of the conditions to be met, that they fully understand their obligation and that they will not make any claim for, or have right to cancellation or relief from this contract because of any misunderstanding or lack of information.
6. **RFP DEBRIEFING:** In accordance with §49 of the *Governing Rules* Mason is not required to furnish a statement of the reasons why a particular proposal was not deemed to be the most advantageous. However, upon request we will provide a scoring/ranking summary and the award justification memo from the evaluation committee. Formal debriefings are generally not offered.
7. **SUBCONTRACTS:** **No portion of the work shall be subcontracted without prior written consent from Mason.** In the event that the contractor desires to subcontract some part of the work specified herein, the contractor shall furnish Mason the names, qualifications, criminal background checks and experience of their proposed subcontractors. The Contractor shall, however, remain fully liable and responsible for the work to be done by its subcontractor(s) and shall assure compliance with all requirements of the contract.

XVIII. RFP SCHEDULE (Subject to Change):

- Issue in eVA: 03/04/2020
- Advertise in Washington Post: 03/05/2020
- Vendors submit questions by: 03/10/2020 by 4:00 PM EST
- Post Question Responses: 03/12/2020 by 5:00 PM EST
- Proposals Due: 03/23/2020 @ 2:00 PM EST
- Proposals to Committee: 03/25/2020
- Review and Score Proposals: 03/25/2020 – 04/06/2020
- Scores to Purchasing: 04/06/2020
- Oral presentations (if necessary): Weeks of 04/13 – 04/24/2020
- Negotiations/BAFO: Weeks of 04/27 – 05/08/2020
- ASRB Review: 4-6 Weeks

- Award: Week of 06/01/2020
- Contract Start Date: TBD

XIX. ARCHITECTURAL STANDARDS REVIEW BOARD (ASRB) REQUIREMENTS:

After conclusion of negotiations/Best and Final Offer (BAFO) but prior to award of a contract (and/or release of funding to procure your solution) your solution/system will be submitted to Mason's Architectural Standards Review Board (ASRB). The ASRB will review your system for security, accessibility (508 compliance), ease/ability to integrate with existing systems, etc. The Offeror must agree to submit their product/system/software to ASRB and submit any requested information to assist in the review process. ASRB approval is required prior to contract award or funding being released to procure the system/product.

The contractor should be prepared to submit any of the following items including but not limited to;

- Data Dictionary identifying the data elements available for use in the product,
- Data integration documentation,
- Architecture diagrams,
- Security documentation,
- VPAT, and a useable software demo or "sandbox" for accessibility testing,
- And any single sign-on documentation.
- Additional documentation or items may be requested as needed during the review process.
- The contractor may be asked to answer ASRB questions verbally or in writing

It is imperative that the Contractor comply with these requests in a timely fashion as any delay will result in a delay of contract award. Failure to provide documentation or extended delay may result in negotiations concluding, your offer being rejected or an award being rescinded.

ATTACHMENT A
SMALL BUSINESS SUBCONTRACTING PLAN
TO BE COMPLETED BY OFFEROR

It is the goal of the Commonwealth that over 42% of its purchases be made from small businesses. All potential offerors are required to return this document with their response.

Small Business: "Small business (including micro)" means a business which holds a certification as such by the Virginia Department of Small Business and Supplier Diversity (DSBSD) on the due date for proposals. This shall also include DSBSD-certified women- owned and minority-owned businesses and businesses with DSBSD service disabled veteran owned status when they also hold a DSBSD certification as a small business on the proposal due date. Currently, DSBSD offers small business certification and micro business designation to firms that qualify.

Certification applications are available through DSBSD online at www.SBSD.virginia.gov (Customer Service).

Offeror Name: _____

Preparer Name: _____ **Date:** _____

Instructions

A. If you are certified by the DSBSD as a micro/small business, complete only Section A of this form.

B. If you are not a DSBSD-certified small business, complete Section B of this form.

Section A:

If your firm is certified by the DSBSD provide your certification number and the date of certification.

Certification Number: _____ Certification Date: _____

Section B

Populate the table below to show your firm's plans for utilization of DSBSD-certified small businesses in the performance of this contract for the initial contract period in relation to the offeror's total price for the initial contract period. Certified small businesses include but are not limited to DSBSD-certified women-owned and minority-owned businesses and businesses with DSBSD service disabled veteran-owned status that have also received the DSBSD small business certification. Include plans to utilize small businesses as part of joint ventures, partnerships, subcontractors, suppliers, etc. It is important to note that these proposed participation will be incorporated into the subsequent contract and will be a requirement of the contract. Failure to obtain the proposed participation percentages may result in breach of the contract.

Micro/Small Business Name & Address DSBSD Certificate #	Status if Micro/Small Business is also: Women (W), Minority (M), or DSBSD Service Disabled Veteran-Owned	Contact Person, Telephone & Email	Type of Goods and/or Services	Planned Involvement During Initial Period of the Contract	Planned Contract Dollars During Initial Period of the Contract (\$ or %)
Totals \$					

Add a separate page for Section B if necessary.



Purchasing Department
4400 University Drive, Mailstop 3C5
Fairfax, VA 22030
Voice: 703.993.2580 | Fax: 703.993.2589
<http://fiscal.gmu.edu/purchasing/>

ATTACHMENT B – SAMPLE CONTRACT GMU-1646-20

Note: Other documents may be incorporated into this document, either by way of attachment or by reference, but in all cases this contract document shall take precedence over all other documents and will govern the terms and conditions of the contract.

If you take exception to any of the terms below please clearly mark which terms you take exception to and provide your red-lines, comments, questions, etc. as part of your offer. As an entity of the Commonwealth of Virginia (a government agency) GMU cannot agree to indemnify a vendor, limit liability in instances of negligence on the part of the vendor (including instances of data breach and loss of Mason's sensitive/PCI/PII data), waive our right to a jury trial, agree to mandatory arbitration, or the Governing Law/Jurisdiction of another state. GMU reserves the right to reject your proposal or rescind a contract offer/award if you require the University to waive their sovereign immunity or if contract negotiations result in protracted discussions of terms.

This Contract entered on this ____ day of _____ by _____ hereinafter called "Contractor" (located at _____) and George Mason University hereinafter called "Mason," "University".

- I. **WITNESSETH** that the Contractor and Mason, in consideration of the mutual covenants, promises and agreement herein contained, agree as follows:
- II. **SCOPE OF CONTRACT:** The Contractor shall provide a Research Administration Software Systems and any related goods and services to provide implementation, setup, training, etc. for the Research Administration Department of George Mason University as set forth in the Contract documents.
- III. **PERIOD OF CONTRACT:** To Be Negotiated. Standard Contract Period of Performance is One (1) Base Year with Nine (9) Optional One Year Renewals.
- IV. **PRICE SCHEDULE:** As negotiated
- V. **CONTRACT ADMINISTRATION:** TBD shall serve as Contract Administrator for this Contract and shall use all powers under the Contract to enforce its faithful performance. The Contract Administrators shall determine the amount, quality and acceptability of work and shall decide all other questions in connection with the work. All direction and order from Mason shall be transmitted through the Contract Administrator, however, the Contract Administrator shall have no authority to approve changes which shall alter the concept or scope or change the basis for compensation.
- VI. **METHOD OF PAYMENT:** As negotiated
- VII. **THE CONTRACT DOCUMENTS SHALL CONSIST OF (In order of precedence):**
 - A. This signed form;
 - B. Data Security Addendum dated XXXXX, in its entirety (incorporated herein by reference);
 - C. RFP No. GMU-1646-20, in its entirety (incorporated herein by reference);
 - D. Contractor's proposal dated XXXXXX (incorporated herein by reference);
 - E. Negotiation Responses dated XXXXX (incorporated herein by reference).
- VIII. **GOVERNING RULES:** This Contract is governed by the provisions of the Restructured Higher Education Financial and Administrative Operations Act, Chapter 10 (§ [23.1-1000](#) et seq.) of Title 23.1 of the Code of Virginia, and in particular § [23.1-1003](#) of the Restructuring Act ("Memoranda of Understanding"), and the "*Governing Rules*" and the *Purchasing Manual for Institutions of Higher Education and their Vendors*. Documents may be viewed at: <https://vascupp.org>.
- IX. **CONTRACT PARTICIPATION:** As negotiated. It is the intent of this Contract to allow for cooperative procurement.

Accordingly, any public body, public or private health or educational institutions, or affiliated corporations may access this Contract if authorized by the Contractor.

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

The University may request the Contractor provide semi-annual usage reports for all entities accessing the Contract. The University shall not be held liable for any costs or damages incurred by any other participating entity as a result of any authorization by the Contractor to extend the Contract. It is understood and agreed that the University is not responsible for the acts or omissions of any entity and will not be considered in default of the contract no matter the circumstances.

Use of this Contract does not preclude any participating entity from using other contracts or competitive processes as needed.

X. STANDARD TERMS AND CONDITIONS:

- A. APPLICABLE LAW AND CHOICE OF FORUM: This Contract shall be construed, governed, and interpreted pursuant to the laws of the Commonwealth of Virginia. All disputes arising under this Contract shall be brought before an appropriate court in the Commonwealth of Virginia.
- B. ANTI-DISCRIMINATION: By entering into this Contract Contractor certifies to the Commonwealth that they will conform to the provisions of the Federal Civil Rights Act of 1964, as amended, as well as the Virginia Fair Employment Contracting Act of 1975, as amended, where applicable, the Virginians With Disabilities Act, the Americans With Disabilities Act and §§ 9&10 of the *Governing Rules*. If Contractor is a faith-based organization, the organization shall not discriminate against any recipient of goods, services, or disbursements made pursuant to the Contract on the basis of the recipient's religion, religious belief, refusal to participate in a religious practice, or on the basis of race, age, color, gender or national origin and shall be subject to the same rules as other organizations that contract with public bodies to account for the use of the funds provided; however, if the faith-based organization segregates public funds into separate accounts, only the accounts and programs funded with public funds shall be subject to audit by the public body. (*Governing Rules*, § 36).

In every contract over \$10,000 the provisions in 1. and 2. below apply:

1. During the performance of this Contract, the Contractor agrees as follows:
 - a. The Contractor will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment, except where there is a bona fide occupational qualification reasonably necessary to the normal operation of the Contractor. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.
 - b. The Contractor, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, will state that such Contractor is an equal opportunity employer.
 - c. Notices, advertisements and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient for the purpose of meeting these requirements.
 2. The Contractor will include the provisions of 1. above in every subcontract or purchase order over \$10,000, so that the provisions will be binding upon each subcontractor or Contractor.
- C. ANTITRUST: By entering into a contract, the Contractor conveys, sells, assigns, and transfers to the Commonwealth of Virginia all rights, title and interest in and to all causes of action it may now have or hereafter acquire under the antitrust laws of the United States and the Commonwealth of Virginia, relating to the

particular goods or services purchased or acquired by the Commonwealth of Virginia under said contract.

- D. ASSIGNMENT: Neither party will assign or otherwise transfer its rights or obligations under this Contract without both parties' prior written consent. Any attempted assignment, transfer, or delegation without such consent is void.
- E. AUDIT: The Contractor shall retain all books, records, and other documents relative to this Contract for five (5) years after final payment, or until audited by the Commonwealth of Virginia, whichever is sooner. The agency, its authorized agents, and/or state auditors shall have full access to and the right to examine any of said materials during said period.
- F. AVAILABILITY OF FUNDS: It is understood and agreed between the parties herein that the agency shall be bound hereunder only to the extent of the funds available or which may hereafter become available for the purpose of this agreement.
- G. AUTHORIZED SIGNATURES: The signatory for each Party certifies that he or she is an authorized agent to sign on behalf such Party.
- H. BACKGROUND INVESTIGATIONS: Contractor's employees (including subcontractors) performing services on any Mason campus must have successfully completed a criminal background check prior to the start of their work assignment/service. As stated in [Administrative Policy Number 2221 – Background Investigations](#), the criminal background investigation will normally include a review of the individual's records to include Social Security Number Search, Credit Report (if related to potential job duties), Criminal Records Search (any misdemeanor convictions and/or felony convictions are reported) in all states in which the employee has lived or worked over the past seven years, and the National Sex Offender Registry. In addition, the Global Watch list (maintained by the Office of Foreign Assets Control of The US Department of Treasury) should be reviewed. Signature on this contract confirms your compliance with this requirement.
- I. CANCELLATION OF CONTRACT: Mason reserves the right to cancel and terminate this Contract, in part or in whole, without penalty, upon 60 days written notice to the Contractor. In the event the initial Contract period is for more than 12 months, the resulting Contract may be terminated by either party, without penalty, after the initial 12 months of the Contract period upon 60 days written notice to the other party. Any contract cancellation notice shall not relieve the Contractor of the obligation to deliver and/or perform on all outstanding orders issued prior to the effective date of cancellation.
- J. CHANGES TO THE CONTRACT: Changes can be made to the Contract in any of the following ways:
1. The parties may agree in writing to modify the scope of the Contract. An increase or decrease in the price of the Contract resulting from such modification shall be agreed to by the parties as a part of their written agreement to modify the scope of the Contract.
 2. George Mason University may order changes within the general scope of the Contract at any time by written notice to the Contractor. Changes within the scope of the Contract include, but are not limited to, things such as services to be performed, the method of packing or shipment, and the place of delivery or installation. The Contractor shall comply with the notice upon receipt. The Contractor shall be compensated for any additional costs incurred as the result of such order and shall give George Mason University a credit for any savings. Said compensation shall be determined by one of the following methods:
 - a. By mutual agreement between the parties in writing; or
 - b. By agreeing upon a unit price or using a unit price set forth in the Contract, if the work to be done can be expressed in units, and the contractor accounts for the number of units of work performed, subject to the George Mason University's right to audit the Contractor's records and/or to determine the correct number of units independently; or
 - c. By ordering the contractor to proceed with the work and keep a record of all costs incurred and savings realized. A markup for overhead and profit may be allowed if provided by the Contract. The same markup shall be used for determining a decrease in price as the result of savings realized. The contractor shall present George Mason University with all vouchers and records of expenses incurred and savings realized. George Mason University shall have

the right to audit the records of the Contractor as it deems necessary to determine costs or savings. Any claim for an adjustment in price under this provision must be asserted by written notice to George Mason University within thirty (30) days from the date of receipt of the written order from George Mason University. If the parties fail to agree on an amount of adjustment, the question of an increase or decrease in the Contract price or time for performance shall be resolved in accordance with the procedures for resolving disputes provided by the Disputes Clause of this contract or, if there is none, in accordance with the disputes provisions of the Commonwealth of Virginia Purchasing Manual for Institutions of Higher Education and Their Contractors. Neither the existence of a claim nor a dispute resolution process, litigation or any other provision of this Contract shall excuse the Contractor from promptly complying with the changes ordered by George Mason University or with the performance of the contract generally.

- K. CLAIMS: Contractual claims, whether for money or other relief, shall be submitted in writing no later than 60 days after final payment. However, written notice of the Contractor's intention to file a claim shall be given at the time of the occurrence or beginning of the work upon which the claim is based. Nothing herein shall preclude a contract from requiring submission of an invoice for final payment within a certain time after completion and acceptance of the work or acceptance of the goods. Pendency of claims shall not delay payment of amounts agreed due in the final payment.
1. The firm must submit written claim to:
Chief Procurement Officer
George Mason University
4400 University Drive, MSN 3C5
Fairfax, VA 22030
 2. The firm must submit any unresolved claim in writing no later than 60 days after final payment to the Chief Procurement Officer.
 3. Upon receiving the written claim, the Chief Procurement Officer will review the written materials relating to the claim and will mail his or her decision to the firm within 60 days after receipt of the claim.
 4. The firm may appeal the Chief Procurement Officer's decision in accordance with § 55 of the *Governing Rules*.
- L. COLLECTION AND ATTORNEY'S FEES: The Contractor shall pay to Mason any reasonable attorney's fees or collection fees, at the maximum allowable rate permitted under Virginia law, incurred in enforcing this Contract or pursuing and collecting past-due amounts under this Contract.
- M. COMPLIANCE: All goods and services provided to Mason shall be done so in accordance with any and all applicable local, state, federal, and international laws, regulations and/or requirements and any industry standards, including but not limited to: the Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA) and Health Information Technology for Economic and Clinical Health Act (HITECH), Government Data Collection and Dissemination Practices Act, Gramm-Leach-Bliley Financial Modernization Act (GLB), Payment Card Industry Data Security Standards (PCI-DSS), Americans with Disabilities Act (ADA), and Federal Export Administration Regulations. Any Contractor personnel visiting Mason facilities will comply with all applicable Mason policies regarding access to, use of, and conduct within such facilities. Mason's policies can be found at <https://universitypolicy.gmu.edu/all-policies/> and any facility specific policies can be obtained from the facility manager.
- N. CONFIDENTIALITY OF PERSONALLY IDENTIFIABLE INFORMATION: The Contractor shall ensure that personally identifiable information ("PII") which is defined as any information that by itself or when combined with other information can be connected to a specific person and may include but is not limited to personal identifiers such as name, address, phone, date of birth, Social Security number, student or personal identification numbers, driver's license numbers, state or federal identification numbers, biometric information, religious or political affiliation, non-directory information, and any other information protected by state or federal privacy laws, will be collected and held confidential and in accordance with this agreement, during and following the term of this Contract, and will not be divulged without the individual's and Mason's written consent and only in accordance with federal law or the Code of Virginia.

- O. CONFLICT OF INTEREST: Contractor represents to Mason that its entering into this Contract with Mason and its performance through its agents, officers and employees does not and will not involve, contribute to nor create a conflict of interest prohibited by Virginia State and Local Government Conflict of Interests Act (Va. Code 2.2-3100 *et seq*), the Virginia Ethics in Public Contracting Act (§57 of the *Governing Rules*), the Virginia Governmental Frauds Act (Va. Code 18.2 – 498.1 *et seq*) or any other applicable law or regulation.
- P. DEBARMENT STATUS: As of the effective date, the Contractor certifies that it is not currently debarred by the Commonwealth of Virginia from submitting bids or proposals on contracts for the type of services covered by this Contract, nor is the Contractor an agent of any person or entity that is currently so debarred.
- Q. DEFAULT: In the case of failure to deliver goods or services in accordance with any resulting contract terms and conditions, George Mason University, after due oral or written notice, may procure them from other sources and hold the contractor responsible for any resulting additional purchase and administrative costs. This remedy shall be in addition to any other remedies which George Mason University may have.
- R. DRUG-FREE WORKPLACE: During the performance of this Contract, the Contractor agrees to (i) provide a drug-free workplace for the Contractor's employees; (ii) post in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance or marijuana is prohibited in the contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; (iii) state in all solicitations or advertisements for employees placed by or on behalf of the Contractor that the Contractor maintains a drug-free workplace; and (iv) include the provisions of the foregoing clauses in every subcontract or purchase order of over \$10,000, so that the provisions will be binding upon each subcontractor or Contractor.

For the purposes of this section, “*drug-free workplace*” means a site for the performance of work done in connection with a specific contract awarded to a contractor, the employees of whom are prohibited from engaging in the unlawful manufacture, sale, distribution, dispensation, possession or use of any controlled substance or marijuana during the performance of this Contract.

- S. ENTIRE CONTRACT: This Contract constitutes the entire understanding of the Parties with respect to the subject matter herein and supersedes all prior oral or written contracts with respect to the subject matter herein. This Contract can be modified or amended only by a writing signed by all of the Parties.
- T. EXPORT CONTROL:

1. **Munitions Items**: If the Contractor is providing any items, data or services under this order that are controlled by the Department of State, Directorate of Defense Trade Controls, International Traffic in Arms Regulations (“ITAR”), or any items, technology or software controlled under the “600 series” classifications of the Bureau of Industry and Security’s Commerce Control List (“CCL”) (collectively, “Munitions Items”), prior to delivery, Contractor must:

- a. notify Mason (by sending an email to export@gmu.edu), and
- b. receive written authorization for shipment from Mason’s Director of Export Controls.

The notification provided by the Contractor must include the name of the Mason point of contact, identify and describe each ITAR or CCL-controlled commodity, provide the associated U.S. Munitions List (USML) category number(s) or Export Control Classification Number, and indicate whether or not the determination was reached as a result of a commodity jurisdiction determination, or self-classification process. The Contractor promises that if it fails to obtain the required written pre-authorization approval for shipment to Mason of any Munitions Item, it will reimburse Mason for any fines, legal costs and other fees imposed for any violation of export controls regarding the Munition Item that are reasonably related to the Contractor’s failure to provide notice or obtain Mason’s written pre-authorization.

2. **Dual-Use Items**: If the Contractor is providing any dual-use items, technology or software under this order that are listed on the CCL in a series other than a “600 series”, Contractor must (i) include the Export Control Classification Number (ECCN) on the packing or other transmittal documentation

traveling with the item(s) and, (ii) send a description of the item, its ECCN, and the name of the Mason point of contact to: export@gmu.edu .

- U. FORCE MAJEURE: Mason will not be responsible for any losses resulting from delay or failure in performance resulting from any cause beyond Mason's control, including without limitation: war, strikes or labor disputes, civil disturbances, fires, natural disasters, and acts of God.
- V. IMMIGRATION REFORM AND CONTROL ACT OF 1986: By entering into this Contract Contractor certifies that they do not and will not during the performance of this Contract employ illegal alien workers or otherwise violate the provisions of the federal Immigration Reform and Control Act of 1986.
- W. INDEMNIFICATION: Contractor agrees to indemnify, defend and hold harmless George Mason University the Commonwealth of Virginia, its officers, agents, and employees from any claims, damages and actions of any kind or nature, whether at law or in equity, arising from or caused by the use of any materials, goods, or equipment of any kind or nature furnished by the Contractor/any services of any kind or nature furnished by the Contractor, provided that such liability is not attributable to the sole negligence of Mason or to the failure of Mason to use the materials, goods, or equipment in the manner already and permanently described by the Contractor on the materials, goods or equipment delivered.
- X. INDEPENDENT CONTRACTOR: The Contractor is not an employee of Mason, but is engaged as an independent contractor. The Contractor shall indemnify and hold harmless the Commonwealth of Virginia, Mason, and its employees and agents, with respect to all withholding, Social Security, unemployment compensation and all other taxes or amounts of any kind relating to the Contractor's performance of this Contract. Nothing in this Contract shall be construed as authority for the Contractor to make commitments which will bind Mason or to otherwise act on behalf of Mason, except as Mason may expressly authorize in writing.
- Y. INFORMATION TECHNOLOGY ACCESS ACT: Computer and network security is of paramount concern at George Mason University. The University wants to ensure that computer/network hardware and software does not compromise the security of its IT environment. Contractor agrees to use commercially reasonable measures in connection with any offering your company makes to avoid any known threat to the security of the IT environment at George Mason University.

All e-learning and information technology developed, purchased, upgraded or renewed by or for the use of George Mason University shall comply with all applicable University policies, Federal and State laws and regulations including but not limited to Section 508 of the Rehabilitation Act (29 U.S.C. 794d), the Information Technology Access Act, §§2.2-3500 through 2.2-3504 of the Code of Virginia, as amended, and all other regulations promulgated under Title II of The Americans with Disabilities Act which are applicable to all benefits, services, programs, and activities provided by or on behalf of the University. The Contractor shall also comply with the Web Content Accessibility Guidelines (WCAG) 2.0. For more information please visit <http://ati.gmu.edu>, under Policies and Procedures.

- Z. INSURANCE: The Contractor shall maintain all insurance necessary with respect to the services provided to Mason. The Contractor further certifies that they will maintain the insurance coverage during the entire term of the Contract and that all insurance is to be placed with insurers with a current reasonable A.M. Best's rating authorized to sell insurance in the Commonwealth of Virginia by the Virginia State Corporation Commission. The Commonwealth of Virginia and Mason shall be named as an additional insured.
 - 1. Commercial General Liability Insurance in an amount not less than \$1,000,000 per occurrence for bodily injury or property damage, personal injury and advertising injury, products and completed operations coverage;
 - 2. Workers Compensation Insurance in an amount not less than that prescribed by statutory limits; and, as applicable;
 - 3. Commercial Automobile Liability Insurance applicable to bodily injury and property damage, covering owned, non-owned, leased, and hired vehicles in an amount not less than \$1,000,000 per occurrence; and
 - 4. An umbrella/excess policy in an amount not less than five million dollars (\$5,000,000) to apply over and above Commercial General Liability, Employer's Liability, Workers' Compensation, and

Commercial Automobile Liability Insurance.

- AA. INTELLECTUAL PROPERTY: Contractor warrants and represents that it will not violate or infringe any intellectual property right or any other personal or proprietary right and shall indemnify and hold harmless Mason against any claim of infringement of intellectual property rights which may arise under this Contract.

Unless expressly agreed to the contrary in writing, all goods, products, materials, documents, reports, writings, video images, photographs or papers of any nature including software or computer images prepared or provided by Contractor (or its subcontractors) for Mason will not be disclosed to any other person or entity without the written permission of Mason.

Work Made for Hire. Contractor warrants to Mason that Mason will own all rights, title and interest in any and all intellectual property rights created in the performance or otherwise arising from the Contract and will have full ownership and beneficial use thereof, free and clear of claims of any nature by any third party including, without limitation, copyright or patent infringement claims. Contractor agrees to assign and hereby assigns all rights, title, and interest in any and all intellectual property created in the performance or otherwise arising from the Contract, and will execute any future assignments or other documents needed for Mason to document, register, or otherwise perfect such rights. Notwithstanding the foregoing, for research collaboration pursuant to subcontracts under sponsored research Contracts administered by the University's Office of Sponsored Programs, intellectual property rights will be governed by the terms of the grant or contract to Mason to the extent such grant or contract requires intellectual property terms to apply to subcontractors.

- BB. NON-DISCRIMINATION: All parties to this Contract agree to not discriminate on the basis of race, color, religion, national origin, sex, pregnancy, childbirth or related medical conditions, age (except where sex or age is a bona fide occupational qualification, marital status or disability).

- CC. PUBLICITY: The Contractor shall not use, in its external advertising, marketing programs or promotional efforts, any data, pictures, trademarks or other representation of Mason except on the specific written authorization in advance by Mason's designated representative.

- DD. REMEDIES: If the Contractor breaches this Contract, in addition to any other rights or remedies, Mason may terminate this Contract without prior notice.

- EE. RENEWAL OF CONTRACT: AS NEGOTIATED This Contract may be renewed by Mason for nine (9) successive one-year renewal options under the terms and conditions of this Contract except as stated in 1. and 2. below. Price increases may be negotiated only at the time of renewal. Written notice of the University's intention to renew shall be given approximately 90 days prior to the expiration date of each contract period.

1. If the University elects to exercise the option to renew the Contract for an additional one-year period, the Contract price(s) for the additional one year shall not exceed the Contract price(s) of the original Contract increased/decreased by more than the percentage increase/decrease of the "other goods and services" category of the CPI-U section of the Consumer Price Index of the United States Bureau of Labor Statistics for the latest twelve months for which statistics are available.
2. If during any subsequent renewal periods, the University elects to exercise the option to renew the Contract, the Contract price(s) for the subsequent renewal period shall not exceed the Contract price(s) of the previous renewal period increased/decreased by more than the percentage increase/decrease of the "other goods and services" category of the CPI-U section of the Consumer Price Index of the United States bureau of Labor Statistics for the latest twelve months for which statistics are available.

- EE. REPORTING OF CRIMES, ACCIDENTS, FIRES AND OTHER EMERGENCIES: Any Mason Employee, including contracted service providers, who is not a staff member in Counseling and Psychological Services (CAPS) or a pastoral counselor, functioning within the scope of that recognition, is considered a "Campus Security Authority (CSA)." CSAs must promptly report all crimes and other emergencies occurring on or near property owned or controlled by Mason to the Department of Police & Public Safety or local police and fire authorities by dialing 9-1-1. At the request of a victim or survivor, identifying information may be excluded from a report (e.g., names, initials, contact information, etc.). Please visit the following website for more information and training: <http://police.gmu.edu/clery-act-reporting/campus-security-authority-csa/>."

- FF. RESPONSE TO LEGAL ORDERS, DEMANDS, OR REQUESTS FOR DATA: Except as otherwise expressly prohibited by law, Contractor will: i) immediately notify Mason of any subpoenas, warrants, or other legal

orders, demands or requests received by Contractor seeking University Data; ii) consult with Mason regarding its response; iii) cooperate with Mason's reasonable requests in connection with efforts by Mason to intervene and quash or modify the legal order, demand or request; and iv) upon Mason's request, provide Mason with a copy of its response.

If Mason receives a subpoena, warrant, or other legal order, demand (including request pursuant to the Virginia Freedom of Information Act) or request seeking University Data maintained by Contractor, Mason will promptly provide a copy to Contractor. Contractor will promptly supply Mason with copies of data required for Mason to respond, and will cooperate with Mason's reasonable requests in connection with its response.

- GG. SEVERABILITY: Should any portion of this Contract be declared invalid or unenforceable for any reason, such portion is deemed severable from the Contract and the remainder of this Contract shall remain fully valid and enforceable.
- HH. SOVEREIGN IMMUNITY: Nothing in this Contract shall be deemed a waiver of the sovereign immunity of the Commonwealth of Virginia and of Mason.
- II. SUBCONTRACTS: No portion of the work shall be subcontracted without prior written consent from Mason. In the event that the Contractor desires to subcontract some part of the work specified herein, the Contractor shall furnish Mason the names, qualifications and experience of their proposed subcontractors. The Contractor shall, however, remain fully liable and responsible for the work to be done by its subcontractor(s) and shall assure compliance with all requirements of this Contract. This paragraph applies to, but is not limited to, subcontractor(s) who process University Data.
- JJ. UNIVERSITY DATA: University Data includes all Mason owned, controlled, or collected PII and any other information that is not intentionally made available by Mason on public websites, including but not limited to business, administrative and financial data, intellectual property, and patient, student and personnel data. Contractor agrees to the following regarding University Data it may collect or process as part of this Contract:
1. Contractor will use University Data only for the purpose of fulfilling its duties under the Contract and will not share such data with or disclose it to any third party without the prior written consent of Mason, except as required by the Contract or as otherwise required by law. University Data will only be processed by Contractor to the extent necessary to fulfill its responsibilities under the Contract or as otherwise directed by Mason.
 2. University Data, including any back-ups, will not be accessed, stored, or transferred outside the United States without prior written consent from Mason. Contractor will provide access to University Data only to its employees and subcontractors who need to access the data to fulfill Contractor's obligations under the Contract. Contractor will ensure that employees who perform work under the Contract have read, understood, and received appropriate instruction as to how to comply with the data protection provisions of the Contract and to maintain the confidentiality of the University Data.
 3. The parties agree that as between them, all rights including all intellectual property rights in and to University Data shall remain the exclusive property of Mason, and Contractor has a limited, nonexclusive license to use the University Data as provided in the Contract solely for the purpose of performing its obligations under the Contract. The Contract does not give a party any rights, implied or otherwise, to the other party's data, content, or intellectual property, except as expressly stated in the Contract.
 4. Contractor will take reasonable measures, including audit trails, to protect University Data against deterioration or degradation of data quality and authenticity. Contractor shall be responsible for ensuring that University Data, per the Virginia Public Records Act, is preserved, maintained, and accessible throughout their lifecycle, including converting and migrating electronic data as often as necessary so that information is not lost due to hardware, software, or media obsolescence or deterioration.
 5. Contractor shall notify Mason within three business days if it receives a request from an individual under any applicable law regarding PII about the individual, including but not limited to a request to view, access, delete, correct, or amend the information. Contractor shall not take any action regarding such a request except as directed by Mason.

6. If Contractor will have access to University Data that includes “education records” as defined under the Family Educational Rights and Privacy Act (FERPA), the Contractor acknowledges that for the purposes of the Contract it will be designated as a “school official” with “legitimate educational interests” in the University education records, as those terms have been defined under FERPA and its implementing regulations, and the Contractor agrees to abide by the limitations and requirements imposed on school officials. Contractor will use the education records only for the purpose of fulfilling its duties under the Contract for Mason’s and its end user’s benefit, and will not share such data with or disclose it to any third party except as provided for in the Contract, required by law, or authorized in writing by the University.
7. Mason may require that Mason and Contractor complete a Data Processing Addendum (“DPA”). If a DPA is completed, Contractor agrees that the information in the DPA is accurate. Contractor will only collect or process University Data that is identified in the DPA and will only handle that data (e.g., type of processing activities, storage, security, disclosure) as described in the DPA. If Contractor intends to do anything regarding University Data that is not reflected in the DPA, Contractor must request an amendment to the DPA and may not take the intended action until the amendment is approved and documented by Mason.

KK. UNIVERSITY DATA SECURITY: Data security is of paramount concern to Mason. Contractor will utilize, store and process University Data in a secure environment in accordance with commercial best practices, including appropriate administrative, physical, and technical safeguards, to secure such data from unauthorized access, disclosure, alteration, and use. Such measures will be no less protective than those used to secure Contractor’s own data of a similar type, and in no event less than reasonable in view of the type and nature of the data involved. At a minimum, Contractor shall use industry-standard and up-to-date security tools and technologies such as anti-virus protections and intrusion detection methods to protect University Data.

Immediately upon becoming aware of circumstances that could have resulted in unauthorized access to or disclosure or use of University Data, Contractor will notify Mason, fully investigate the incident, and cooperate fully with Mason’s investigation of and response to and remediation of the incident. Except as otherwise required by law, Contractor will not provide notice of the incident directly to individuals who’s PII was involved, regulatory agencies, or other entities, without prior written permission from Mason.

If Contractor provides goods and services that require the exchange of sensitive University Data, the Data Security Addendum attached to this Contract provides additional requirements Contractor must take to protect the University Data. Mason reserves the right to determine whether the University Data involved in this contract is sensitive, and if it so determines it will provide the Data Security Addendum to Contractor and it will be attached to and incorporated into this contract. Types of University Data that may be considered sensitive include, but is not limited to, (1) PII; (2) credit card data; (3) financial or business data which has the potential to affect the accuracy of the University’s financial statements; (4) medical or health data; (5) sensitive or confidential business information; (6) trade secrets; (7) data which could create a security (including IT security) risk to Mason; and (8) confidential student or employee information.

Mason reserves the right in its sole discretion to perform audits of Contractor, at Mason’s expense, to ensure compliance with all obligations regarding University Data. Contractor shall reasonably cooperate in the performance of such audits. Contractor will make available to Mason all information necessary to demonstrate compliance with its data processing obligations. Failure to adequately protect University Data or comply with the terms of this Contract with regard to University Data may be grounds to terminate this Contract.

LL. UNIVERSITY DATA UPON TERMINATION OR EXPIRATION: Upon termination or expiration of the Contract, Contractor will ensure that all University Data are securely returned or destroyed as directed by Mason in its sole discretion within 180 days of the request being made. Transfer to Mason or a third party designated by Mason shall occur within a reasonable period of time, and without significant interruption in service. Contractor shall ensure that such transfer/migration uses facilities and methods that are compatible with the relevant systems of Mason or its transferee, and to the extent technologically feasible, that Mason will have reasonable access to University Data during the transition. In the event that Mason requests destruction of its data, Contractor agrees to destroy all data in its possession and in the possession of any subcontractors or agents to which the Contractor might have transferred University Data. Contractor agrees to provide documentation of data destruction to the University.

Contractor will notify the University of any impending cessation of its business and any contingency plans. This includes immediate transfer of any previously escrowed assets and University Data and providing Mason

access to Contractor's facilities to remove and destroy Mason-owned assets and University Data. Contractor shall implement its exit plan and take all necessary actions to ensure a smooth transition of service with minimal disruption to Mason. Contractor will also provide a full inventory and configuration of servers, routers, other hardware, and software involved in service delivery along with supporting documentation, indicating which if any of these are owned by or dedicated to Mason. Contractor will work closely with its successor to ensure a successful transition to the new equipment, with minimal downtime and effect on Mason, all such work to be coordinated and performed in advance of the formal, final transition date.

MM. UNIVERSITY REVIEW/APPROVAL: All goods, services, products, design, etc. produced by the Contractor for or on behalf of Mason are subject to Mason's review and approval.

NN. WAIVER: The failure of a party to enforce any provision in this Contract shall not be deemed to be a waiver of such right.

Contractor Name

George Mason University

Signature

Signature

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

**Data Security Addendum for inclusion in Standard Contract GMU-1646-20 with
George Mason University (the “University”)**

This Addendum supplements the above-referenced Contract between the University and Full legal name of Firm/Vendor (“Selected Firm/Vendor”) dated _____ (the “Contract”). It is applicable only in those situations where the Selected Firm/Vendor provides goods or services under a Contract or Purchase Order which necessitate that the Selected Firm/Vendor create, obtain, transmit, use, maintain, process, store, or dispose of Sensitive University Data (as defined in the Definitions Section of this Addendum) as part of its work under the Contract.

This Addendum sets forth the terms and conditions pursuant to which Sensitive University Data will be protected by the Selected Firm/Vendor during the term of the Parties’ Contract and after its termination.

1. Definitions

Terms used herein shall have the same definition as stated in the Contract. Additionally, the following definitions shall apply to this Addendum.

- a. **“Personally Identifiable Information (“PII”)”** means any information that can be connected to a specific person and may include but is not limited to personal identifiers such as name, address, phone, date of birth, Social Security number, student or personal identification numbers, driver’s license numbers, state or federal identification numbers, non-directory information and any other information protected by state or federal privacy laws.
- b. **“University Data”** includes all University owned Personally Identifiable Information and other information that is not intentionally made generally available by the University on public websites, including but not limited to business, administrative and financial data, intellectual property, and patient, student and personnel data.
- c. **“Sensitive University Data”** means data identified by University to Selected Firm/Vendor as Sensitive University Data and may include, but is not limited to: (1) PII; (2) credit card data; (3) financial or business data which has the potential to affect the accuracy of the University’s financial statements; (4) medical or health data; (5) sensitive or confidential business information; (6) trade secrets; (7) data which could create a security (including IT security) risk to the University; and (8) confidential student or employee information.
- d. **“Securely Destroy”** means taking actions that render data written on media unrecoverable by both ordinary and extraordinary means. These actions must meet or exceed those sections of the National Institute of Standards and Technology (NIST) SP 800-88 guidelines relevant to data categorized as high security.
- e. **“Security Breach”** means a security-relevant event in which the security of a system or procedure used to create, obtain, transmit, maintain, use, process, store or dispose of data is breached, and in which University Data is exposed to unauthorized disclosure, access, alteration, or use.
- f. **“Services”** means any goods or services acquired by the University from the Selected Firm/Vendor.

2. Data Security

- a. In addition to the security requirements stated in the Contract, Selected Firm/Vendor warrants that all electronic Sensitive University Data will be encrypted in transmission (including via web interface) and stored at no less than 128-bit level encryption. Additionally, Selected Firm/Vendor warrants that all Sensitive University Data shall be Securely Destroyed, when destruction is requested by University.
- b. If Selected Firm/Vendor’s use of Sensitive University Data include the storing, processing or transmitting of credit card data for the University, Selected Firm/Vendor represents and warrants that for the life of the Contract and while Selected Firm/Vendor has possession of University customer cardholder data, the software and services used for processing transactions shall be compliant with standards established by the Payment Card Industry (PCI) Security Standards Council (www.pcisecuritystandards.org). In the case of a third-party application, the application will be listed as PA-DSS compliant at the time of implementation by the University. Selected Firm/Vendor acknowledges and agrees that it is responsible for the security of all University customer cardholder data or identity information managed, retained, or maintained by Selected Firm/Vendor, including but not limited to protecting against fraudulent or unapproved use of such credit card or identity information. Contractor agrees to indemnify and hold University, its officers, employees, and agents, harmless for, from, and against any and all claims, causes of action, suits, judgments, assessments, costs (including reasonable attorneys’ fees), and expenses arising out of or relating to any loss of University customer credit card or identity information managed, retained, or maintained by contractor, including but not limited to fraudulent or unapproved use of such credit card or identity information. Selected Firm/Vendor shall, upon written request, furnish proof of compliance with the Payment Card Industry Data Security Standard (PCI DSS) within 10 business days of the request. Selected Firm/Vendor agrees that, notwithstanding anything to the contrary in the Contract or the Addendum, the University may terminate the Contract immediately without penalty upon notice to the Selected Firm/Vendor in the event Selected Firm/Vendor fails to maintain compliance with the PCI DSS or fails to maintain the confidentiality or integrity of any cardholder data.

3. Employee Background Checks and Qualifications

- a. In addition to the employee background checks provided for in the Contract, Selected Firm/Vendor shall perform the following background checks on all employees who have potential to access Sensitive University Data: Social Security Number trace; seven (7) year felony and misdemeanor criminal records check of federal, state, or local records (as applicable) for job related crimes; Office of Foreign Assets Control List (OFAC) check; Bureau of Industry and Security List (BIS) check; and Office of Defense Trade Controls Debarred Persons List (DDTC).

4. Security Breach

- a. Liability. In addition to any other remedies available to the University under law or equity, Selected Firm/Vendor will reimburse the University in full for all costs incurred by the University in investigation and remediation of any Security Breach of Sensitive University Data, including but not limited to providing notification to individuals whose Personally Identifiable Information was compromised and to regulatory agencies or other entities as required by law or contract; providing one year's credit monitoring to the affected individuals if the Personally Identifiable Information exposed during the breach could be used to commit financial identity theft; and the payment of legal fees, audit costs, fines, and other fees imposed by regulatory agencies or contracting partners as a result of the Security Breach.

5. Audits

- a. Selected Firm/Vendor will at its expense conduct or have conducted at least annually a: security audit with audit objectives deemed sufficient by the University, which attests the Selected Firm/Vendor's security policies, procedures and controls; ii) vulnerability scan, performed by a scanner approved by the University, of Selected Firm/Vendor's electronic systems and facilities that are used in any way to deliver electronic services under the Contract; and iii) formal penetration test, performed by a process and qualified personnel approved by the University, of Selected Firm/Vendor's electronic systems and facilities that are used in any way to deliver electronic services under the Contract.
- b. Additionally, the Selected Firm/Vendor will provide the University upon request the results of the above audits, scans and tests, and will promptly modify its security measures as needed based on those results in order to meet its obligations under the Contract. The University may require, at University expense, the Selected Firm/Vendor to perform additional audits and tests, the results of which will be provided promptly to the University.
- c. AICPA SOC Report (Type II)/per SSAE18: Vendor must provide the University with its most recent Service Organization Control (SOC) audit report and that of all subservice provider(s) relevant to the contract. It is further agreed that the SOC report, which will be free of cost to the University, will be provided annually, within 30 days of its issuance by the auditor. The SOC report should be directed to the appropriate representative identified by the University. Vendor also commits to providing the University with a designated point of contact for the SOC report, addressing issues raised in the SOC report with relevant subservice provider(s), and responding to any follow up questions posed by the University in relation to the SOC report.

IN WITNESS WHEREOF, this Addendum has been executed by an authorized representative of each party as of the date set forth beneath such party's designated representative's signature.

Selected Firm/Vendor

George Mason University

By:_____

By:_____

Title:_____

Title:_____

Date:_____

Date:_____

Appendix A:
Summary of the functional areas and business requirements:

General Requirements

- SaaS solution for research administration tool
- Offer users (any designated faculty or staff) a Central User Portal that allows the user to access all modules using Mason central authentication user ID and password
- Offer users “dashboard” views that are customizable to user’s system role.
- Offer “wizard” functionality that guides users through processes. Wizard functions should be able to be bypassed.
- Offer a consistent and intuitive look, feel, logic, and navigation throughout all functional modules.
- Ability for minor customization of forms and questions
- Allows multiple users to be logged into same record at the same time, while managing version control
- Ability to set up “groups” for collaboration across departments
- Ability to restrict access to certain areas of platform
- Provide basic data management activities such as: multiple data extraction methods, historical data retention, version retention, deletion recovery, records management activities, automated data error checking and validation, audit tracking, data field locking, import/conversion of legacy data and documents.
- Utilize US based hosting and storage. Ensure the integrity and security of data during storage and transmission per all applicable compliance requirements, including the ability to generate records appropriate for auditing/verification of such requirements.
- Compatible with common web browsers - IE, Firefox, Chrome, Safari, etc.
- Offer online “Help” functionality
- Be able to send auto-notification to other compliance units
- Provide workflow functionality
- Provide flexible workflow programming
- Provide electronic review and approval routing.
- Allow users to attach files and basic data forms in a variety of formats (e.g., PDF, Word, Excel, etc.)
- Allow users to query/generate reports
- Provide the ability to integrate with other systems/applications in use at the university
- Support role-based permissions.
- Support multiple roles per user.
- Assign unique auto-ID field for every record.
- Manage compliance data in a manner that requires the user to enter unique data a single time and be able to reference that data across all compliance modules.
- Notify users that action has occurred or is required within the Solution via email or immediately, as appropriate.
- Support key word indexing and searching.
- Provide “Time-in-state” reporting that can identify bottlenecks (e.g. Submissions that are taking a long time to process, a PI that is not responding to stipulations, etc.) in workflows.
- Be intuitive and user friendly for Principal Investigators (“PI”), researchers, and research administrators to enter information, and upload/categorize documents.

Proposal Development and Submission

- Allow users to initiate, prepare, edit and submit proposals
- Auto-populate fields with institutional data from multiple sources and allow for overrides
- Provide system-to-system proposal submission capabilities
- System should support S2S validations to check for errors/warnings before proposal submission.
- Support non-S2S proposal submissions
- Ability to identify research/project type: Instruction, research (basic/applied), training, clinical trial, construction, etc...
- Proposal Status field: i.e. Draft, Final, Pending, Submitted, Awarded
- Configurable Reps and Certs for approvals
- Facilitate the collection and provision of current and pending support
- Incorporate compliance information such as COI disclosures as appropriate.
- Allow the ability for entities, in addition to the PI, to submit information.
- Support creation or uploading of documents (CVs, biosketches, financial reports, invoices, email communication etc.) for digital foldering.
- Support versioning of a proposal and tracking of changes.
- Ability to view and add notes.

- Support proposal status tracking.
- Provide a budget preparation tool that integrates with Banner Financial System.
- Ability to transfer (receive) data in Banner Financial System
- Support placement of specific personnel on a budget.
- Support different time periods for time and effort tracking and commitments (e.g., employee A is budgeted at 50% for the first 3 months of a grant and at 10% for the remaining 9 months).
- Support salary increases/inflation factors.
- Support entry of sub-award information.
- Preselected F&A rates, with ability to manually enter rates as needed
- Application of appropriate fringe rate/automatic calculations
- Ability to automatically calculate standardized inflation increases (i.e. options to select 1-5% increases) for out years on proposal/project budgets
- Support documenting the status of a budget.
- Support revisions to the budget after submission.
- Either be inclusive or integrate seamlessly between systems and exportable. It should also allow users the ability to view, monitor and update compliance data.
- Allow the ability to customize routing sheet questions based on sponsor or institutional needs.
- Provide electronic process for workflow routing for reviews and approvals; Allow designation of default routing pathways, with an option to override/change on a project-by-project basis
- Provide alerts/notices to users who have a task to complete (i.e., email notification, a work list that's available when they log into the application, etc.).
- Mobile approval
- Capability to copy prior application versions for updating and resubmission
- Ability to enter and distribute department/PI credit splits for projects
- Support data flow from the Pre-Award system to the post-award system, i.e. Proposal to Award.
- Tracking and reporting of proposal data

Award and Contract Management

- Ability to upload/maintain non-proposal related documents (award or unfunded agreements)
- Ability to find/link to system modules for related compliance information (IRB/IACUC/COI/etc....)
- Ability to update/revise actual award data elements and budget information (w/o overwriting proposal data)
- Ability to initiate award set-up process
- Ability to track contract negotiation process
- Ability to maintain subcontract/vendor information
- Ability to capture/review/maintain sub recipient information up to and including Uniform Guidance sub recipient post-award monitoring responsibilities.
- Ability to enter/track/maintain reporting requirements and deliverables such as progress reports, status reports, financial reports, compliance reports, invention statements, and scientific reports.
- Ability to notify PI's/Depts. of pending report deadlines
- Ability to track contacts with sub recipients
- Capacity to manage outgoing sub-awards/sub-contracts
- Ability to search status of sub-awards in the system
- Ability to collect FAIN, CFDA number, DUNS number, contact information, addresses, tax return information, financial statements, and other sub recipient information for audit purposes

Managing Conflicts of Interest and Commitment

- User Configurable Questions
- User Configurable Forms
- Electronic routing for approval and approval capture (workflow)
- Attachments
- Ability to create, modify and maintain COI and outside interests disclosure forms
- Notification for potential conflicts for further review
- Electronic reminders i.e. delinquency
- Ability to identify and search conflicts for each researcher/scholar through resolution, in flight and completed disclosures
- Combined annual COI and outside interests reporting to include research and non-research questions
- Ability for system to identify required COI and outside interest disclosure and appropriate routing based on employee classification

- Ability for Admins to manually add employees not identified based on employee classification
- COI and outside interests dashboards for central office reporting
- Ability to integrate, import and export data from CITI and Mason proprietary training
- Tasks and views based on role type
- Submitter has ability to copy previous COI and outside interests disclosures to current year disclosures
- Central office has ability to review prior years COI and outside interests disclosures
- Ability to route subsets of users to reviewers in local units, who are granted limited administrative rights to see only their subset of filers (crucial for disclosure review)
- System should identify transaction based and research-initiated (project certification based) disclosures, and permit updates/amendments to disclosures
- Delinquency to Submitter (PI), Department, Escalation: Automated delinquent reports split out by department and college that can be distributed without manual updates or human interference, at various predetermined timeframes
- History - Ability for reviewers to see all of the disclosures that they have reviewed
- Workflow on conflict management plans
- Ability to add comments and notes (internal/external) in the system
- Allow for the designation of a COI Committee member or other qualified individual to be assigned to perform monitoring functions as necessary.
- Provide the ability to handle requirements from different agencies

IRB

- New human subjects protocol submission to IRB/committee originating from PI/Dept.
- PI must sign off on protocol submission.
- Electronic workflow routing
- Ability to assign designated reviewer/official reviewer
- Multi-round and reviews
- Track history of IRB record (show timelines, version comparison, personnel, etc.)
- Protocol Review Status should be configurable by administrator - Pending, IRB Admin review, Assigned to Committee, IRB review, Active/Open to enrollment, Inactive/closed. Statuses should be defined at implementation
- Ability to identify protocol type: Not Human Subjects (NHS), Exempt, Limited Review, Expedited, Full committee review
- General protocol data collection capabilities: Title, funding source, department, personnel, area of research, study design, etc....)
- Ability to lock protocols based on status. Ability to lock/restrict editing protocols to particular user roles-based protocol workflow status.
- Ability to lock previous submissions, inability to delete previous submissions
- Attachments: Allow for attachment type, description, status, user "stamping" / signature on approval letters
- Ability to add notes, stipulations, reviewer comments to submissions and reviews (external view and private/IRB only)
- Ability to establish, manage, and edit IRB meetings
- Ability to add and remove reviewers to committees and Meeting Module
- Ability to add items to meeting agendas
- Ability to capture committee votes
- Ability to capture, maintain, update, and export/distribute meeting notes minutes: Attendees, Adverse Event reviews, protocol reviews, etc....
- Ability to configure review outcomes ex. approve/modifications required, disapprove protocols
- Ability to maintain CITI or similar training records for research personnel
- Ability to integrate import and export data from CITI and Mason proprietary training
- Ability to send configurable auto notifications for upcoming IRB actions: renewal dates, etc.
- Ability to capture review status, i.e. Pending, Major revisions needed, minor revisions needed, approve, disapprove
- Ability to configure review status i.e. Pending, Major revisions needed, minor revisions needed, approve, disapprove
- Ability to compare changes between current protocol submission and prior protocol submission
- Ability to manage and track active protocols
- Ability to deactivate expired protocols past expiration date and when PI is inactive

IACUC

- Ability of investigators to create protocols and submit protocols to a committee throughout the protocol life cycle. and modify/update existing protocols
- Ability of investigators to modify/update existing protocols
- Ability to select a designee to submit on behalf of Faculty

- Electronic workflow routing
- Multi-round routing and reviews
- Track history of IACUC record (show timelines, version comparison, personnel, etc.)
- Protocol Review Status fields: Pending, Assigned to Committee, IACUC review, Inactive/closed (others?)
- Ability to identify protocol type: types TBD
- Ability to integrate, import and export data from CITI and Mason proprietary training
- General protocol data collection capabilities: Title, funding source, department, personnel, area of research, study design, etc....)
- Ability to lock protocols based on status
- Allow for attachment type, description, status, user "stamping"
- Ability to add notes to protocols at any time in the lifecycle.
- Ability to establish, manage, and edit IACUC meetings
- Ability to add and remove reviewers to committees and Meeting Module
- Ability to add items to meeting agendas
- Ability to capture committee votes
- Ability to capture, maintain, update, and export/distribute meeting notes: Attendees, protocol reviews, etc....
- Ability to approve/ approve with modifications required / table / reject protocols
- Ability to send notifications for upcoming IACUC actions: renewal dates, etc.
- Ability to identify primary/secondary reviewers
- Ability to capture review status, i.e. Pending, Major revisions needed, minor revisions needed, approve, disapprove
- Ability to capture reviewer comments (external view and private/IACUC only)
- Ability for Investigators to respond to reviewer comments
- Revision history

Export Control

- Facilitate tracking of export control and controlled unclassified information review using customizable fields or other methods for transactions such as:
 - Agreement review and negotiation (research contracts, non-disclosure agreements, protected information agreements, material transfer agreements, confidential disclosure agreements, etc.).
 - Foreign Travel review
 - Purchasing export-controlled equipment/items review
 - Restricted Party Screening notes
 - International Shipping review
 - Voluntary Self-disclosure tracking
 - Training Activities tracking
 - Technology Control Plan tracking/review
 - Templates for communicating guidance to researchers
 - Export control license tracking

Responsible Conduct of Research (RCR) Training Tracking

- Facilitate tracking of RCR training of select individuals.
- Compare data from Banner Financial System to data from the CITI database and Mason proprietary training
- Track training across various compliance areas and summarize by individual, department, College/School, etc.
- Be able to generate reminder emails to individuals who have not received training.

Appendix B:
Summary of Representative Existing Mason systems:

PODS is an internally developed proposal request and tracking system. This system allows Principal Investigators (PIs) to request assistance with a proposal. PIs enter all relevant information to the proposal (title, performance period, etc.), and the proposal is assigned to an Office of Sponsored Programs (OSP) staff member to work with the PI on the submission. PODS is the system of record for proposal records. We do not utilize any S2S functionality for proposal submissions.

NOTE: COEUS was OSP's reporting/tracking tool for proposals through November, 2019. The system was no longer supported, so Mason converted fully to the PODS system in Fall of 2019. COEUS had been implemented in 2013, but not fully implemented, leaving data capture and integration with the data mart to be limited.

PATS is an internally developed post-award management system where OSP captures award information and stores award documents and modifications. After the initial award setup or modification entry in PATS there is a nightly upload to Banner to establish or modify the Grants record in the Banner system.

PATS and PODS are maintained by an internal team within Mason Information Technology Services (ITS) unit.

Banner Grants module is the system of record for Sponsored Awards. For each project, a Grant and Fund (some grants have multiple funds) are established. Functionality used includes the billing module, indirect posting twice a month, payroll certification.

Conflict of Interest (COI) system internally developed and supported by ITS.

Visual Compliance system used to monitor export control compliance <https://www.visualcompliance.com/>

IRBNet is used for IRB and IACUC <https://irbnet.org/release/index.html>

Blackboard organizations are used for collaboration with various committees such as faculty advisory board, research misconduct committees, and so forth.

Blackboard, CITITraining.org and **Epigeum** are used for on-line training.

iThenticate is applied as a resource for faculty and Office of Research Integrity and Assurance (ORIA) to check papers and proposals for plagiarism.

Microstrategy is used for reporting purposes.

Appendix C:

Mason Systems Functional Requirements and Security Information

Functional Requirements:

- Integrate with Banner
- Work with industry standard integration management and ETL tools such as Informatica.
- Allow for integration through standard secure methods such as SFTP, APIs, Web services, etc.
- Offer robust security to protect confidential, sensitive, or proprietary data within the scope of Mason's security protocols.
- Role-based security should be used, and the ability to create, modify, assign, and delete roles should be available to university staff managing the solution.
- Support role and access-based reporting and auditing to facilitate regular review of access and permissions.
- System Data should be encrypted both at rest and in transit.
- 3rd party management of accounts and authorization should be supported.
- Vendor should provide appropriate documentation of their security architecture, policies, and processes.
- Deliver a user-friendly interface with variety of avenues for data entry, import, export/API available for selected data), and report generation for multiple users
- Built in reporting and analysis capabilities
- Forms and workflows should be editable with built-in graphical interface that is easy to use.
- The system/software should allow for export and the ability to save created files and edit files in the system.
- Offer strong reliability, including high uptime percentage, notification of planned updates and outages, ability to request postponement of outage/update due to work schedule, and system stability; data backup and protection from loss of data must be addressed, as should data recovery plans and timetables for data recovery. Please provide a timeline for data recovery, upgrades, etc. (ex. Number of business days for planned system upgrades, what happens during off prime hours, etc.)
- All applications must be formatted for desktops, laptops, and mobile devices
- System must work with OSX, Windows and Linux.

Accessibility:

- Should meet Section 508 and Web Content Accessibility Guidelines (WCAG 2.0) accessibility and compliance standards
- Vendor should be prepared to demonstrate their compliance by providing a Voluntary Product
- Accessibility Template (VPAT).
- Vendor should be prepared to provide Mason staff access to a demo or development environment for the purpose of running accessibility testing tools to evaluate adherence to VPAT statements and compliance standards.

Authentication Methods:

- Respondent should support Security Assertion Markup Language (SAML) 2.0 and be compatible with Shibboleth IdP Version 3.x or greater. Service Provider initiated Single Sign On is preferred.

Authorization Methods:

- Respondent should support access control such as Role Based or Attribute-based; or integrating to common identity and authorization products which support these methods.

Data Security:

- As this system will contain sensitive and confidential information the offeror shall outline their system/software's levels of security, how data is kept secure, etc.

- Please clarify in your offer what your security defaults are (Ex. Does your system generally restrict access to classes of documents unless set otherwise?)
- After negotiations/BAFO but prior to contract award the contractor must agree to submit their solution/system to Mason's Architectural Review Board (ASRB) for review/approval. See Section XVIII for additional information about Mason's ASRB and ASRB requirements.