Consolidated Budgeting, Financial Reporting and Analytics System

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This Request for Proposal (RFP) has been posted on Procurement Services web site for your convenience. Addenda and attachments are posted if issued. The RFP can be downloaded at this web site: http://www.procurement.virginia.edu/pagerfp. It is the firm’s responsibility to ensure that the latest version of the entire RFP and related links are reviewed prior to submission of a proposal. We encourage you to check the web site frequently for any changes prior to the due date. Call (434) 924-1346 if you have trouble accessing the RFP from the web. For questions about the content of the RFP, contact the buyer listed in Section VI, Information about this RFP. Additional information can be found on Procurement Services web site: http://www.procurement.virginia.edu/pagehome

I. Overview of the RFP Process

The Rector and Visitors of the University of Virginia (University), a Virginia public corporation, seeks an experienced firm to provide a Consolidated Budgeting, Financial Reporting and Analytics System (“CBFRAS”) for the University of Virginia School of Medicine (“SOM”) and the Board of Directors of the University of Virginia Health Services Foundation (“HSF”), a non-private, not-for-profit, tax-exempt foundation of the University of Virginia. This RFP is part of a competitive procurement process which helps to serve the University's best interests. It also provides firms with a fair opportunity for their services to be considered. The process of competitive negotiation being used in this case should not be confused with the different process of competitive sealed bidding. The latter process is usually used where the goods or services being procured can be described precisely and price is generally the determinative factor. With competitive negotiation, however, price is not required to be the determinative factor, although it may be, and the University has the flexibility it needs to negotiate with firms to arrive at a mutually agreeable relationship.

For ease of reference, each firm receiving this RFP is referred to as a "firm" and the firm selected to provide services for the University is referred to as the "Selected Firm." This RFP states the instructions for submitting proposals, the procedure and criteria by which a firm may be selected, and the contractual terms by which the University proposes to govern the relationship between it and the Selected Firm.
It is the policy of the Commonwealth of Virginia and the University to contribute to the establishment, preservation, and strengthening of small businesses and businesses owned by women and minorities, and to encourage their participation in State procurement activities. The Commonwealth and the University encourage firms to provide for the participation of small businesses and businesses owned by women and minorities through partnerships, joint ventures, subcontracts, or other contractual opportunities.

II. Background Discussion and Goals of the University
A. The University

When Thomas Jefferson founded the University in 1819, he intended it to be nothing less than a world-class institution of higher learning. Jefferson’s spirit lives on — not only in the Rotunda and Academical Village he designed, and which remain treasures of American architecture, but in the University’s standing as a leader in education, research, and community service.

The 21,000 plus students attending the University work within a true meritocracy and live by an Honor Code unique among American universities. Each student is exposed to the widest spectrum of disciplines — from arts and athletics to humanities and technology. Our students also enjoy a unique connection to the world beyond college through the University’s outstanding professional training, exemplified by its nationally ranked schools of Law, Business, and Medicine. The University as a whole has had a consistently high ranking not only among public schools, where it often heads the list, but among all American universities, public and private.

Over 12,000 permanent University faculty and staff are committed to serving both the local and national community. The University makes a real difference in the world, through its invaluable research, a hospital ranked among the nation’s finest, and graduates who have consistently been among the forefront of our
nation’s shapers. At the University, our bright future is the direct result of our great history.

B. School of Medicine
The SOM has a long tradition of excellence in a collaborative atmosphere within the school, and within a health system that also includes HSF, the School of Nursing, the University Medical Center, and the Health Sciences Library (“UVA Health System”). It is one of the largest schools within the University, with approximately 1,100 salaried faculty, 1,000 visiting faculty and 1,500 staff. The SOM consists of 21 clinical departments, eight basic science departments, 16 research centers and a major research library. The HSF employs 1,150, which includes the 700+ SOM physician faculty. Both organizations combined have annual expenditures in excess of $500 million. This amount contains expenses for operating costs as well as capital expenditures for facilities and equipment.

C. Health Services Foundation
The HSF is an academic medical group practice committed to the uncompromised delivery of quality patient care. HSF was founded in 1979 as a non-private, non-profit organization and serves to further the interests and goals of the UVA Health System. HSF provides expanded physician benefits and supports the financial and administrative functions of the 21 clinical departments in a variety of ways. The HSF maintains a strong relationship with the SOM and the University Medical Center. However, HSF operates independently of the University. HSF processes billing for the University physician services, which are submitted and paid separately from hospital or lab charges.

HSF has several other corporate-level entities including Regional Primary Care (individual physician practices which are wholly owned by HSF) (“RPC”), University Radiology Development Corporation (a taxable for-profit corporation wholly owned by HSF) (“URADCO”), and the Virginia Urological Foundation (a non-profit tax-exempt foundation wholly owned by HSF) (“VUF”).
Figure 1 below represents the current organizational alignment of these related entities.

Note: More information about the structure and business practices of SOM and HSF is provided in Attachment 5, Financial Structure of the SOM and HSF. In addition, information about the Medical Center can be found in Attachment 6, Appendix 5.

D. End State Objectives / Goals

The University seeks to implement a consolidated budgeting, financial reporting and analytics system for SOM and HSF and to achieve, in combination with the Selected Firm’s services, the “End State” described in part by these essential project objectives:
1. The CBFRAS system meets or exceeds the needs of the SOM and HSF financial offices, as determined by those offices, and executive leadership from both organizations;

2. The SOM and HSF end user communities are efficiently and effectively able to retrieve, analyze and report on data at both summary and detail levels.

3. The CBFRAS system integrates with the University’s Oracle ERP System, and HSF’s Epicor and Ultipro systems;

4. The project is on time, within budget, and provides the desired functionality;

5. The SOM and HSF end-user communities are prepared to use the new system when it is implemented;

6. On-going support and maintenance for internal and external users is timely and effective, as determined by the SOM and HSF;

7. Business processes are efficient, effective, and support the strategic direction of the SOM and HSF, and

8. The Selected Firm collaborates with the University to develop availability schedules for changes to the budget/financial reporting applications solution(s), maintenance, upgrades, etc.

In preparing this RFP, the University has attempted to include as much information as possible about the desired End State and the elements that firms should include in their proposals. However, firms are encouraged and expected to suggest additions or changes to the elements of the desired End State within their corresponding proposal in order that the resulting system implementation is conducted in a manner that is consistent with prevailing best practices.

III. Scope of Goods and Services

It is the University's intent to enter into an Agreement with the Selected Firm(s) for the implementation of a Consolidated Budgeting, Financial Reporting and Analytics System
to include those goods and services (the “Goods and Services”) necessary to help the University achieve its goals as outlined in this RFP. In order to achieve this goal, the Selected Firm may be requested to provide the Goods and Services outlined in this section.

A. Software Requirements

1. Budgeting/Forecasting/Planning

Provide a consolidated and consistent mechanism for detailed budgeting of all revenue/funding sources as well as expenses at the individual faculty level and at various summary levels. Provide for the workflow to support the entire budgeting lifecycle. Provide for the ability to track actuals and variances automatically. Provide the ability to create budgets and financial plans for multiple years, leveraging multiple funding sources and expense categories down to the individual faculty level.

Specifically, the software should provide:

a. Lifecycle Workflow — The system must support the University’s full budget lifecycles from forecasting through on-going maintenance. The system must track the current status and stage for all budgets in the workflow processes defined by the University (which will be different for SOM and HSF and their subunits).

b. Workflow Configuration — The system must support an automated budget workflow which can be configured and reconfigured by the University. The system must allow different workflow configurations for different end-user groups.

c. Forecast — The system must support forecasting revenues and expenses for the current year and up to five years in the future by utilizing up to five years of historical data. Forecasts must be projection-based (i.e., 10% growth over previous year’s value) while also allowing for manual overrides by users.

d. Variable Budgeting — The system must allow budgeting of specific line items based on changes in other line items (i.e.,
changes in the budget for one line item may drive changes in the budget for a different line item).

e. Create — The system must support the creation of a new budget based upon a forecast.

f. Edit — The system must support the editing of a budget during specific phases in the budget workflow as defined and configured by the University.

g. Controls — The system must support controls to manage the budget through the budget process and changes to budgets. When a budget is edited, the specific changes must be tracked together with an audit log of who made the changes and when.

h. Validation Logic — The system must support the development and execution of business rules when budgets are validated. Validation must automatically occur at the time of budget submission; validation may also be invoked by the user at any time during the edit phase. These custom validation business rules should be designed using the same tools and capabilities as defined in Data Import — Business Rules). The system must notify the user of the validation failure and allow for subsequent editing of the budget to satisfy the validation logic. Budgets that do not pass all business rules must not move to the next step in the process until all errors are resolved or manually overridden by an administrative super-user.

i. Submission — Once a budget has been developed at the appropriate organization level, it must be submitted for review. Upon submission, the system must allow the budget to be locked from further editing.

j. Review — The system should allow for a budget review that includes all line items for the current budget compared with other values as defined by the University. The reviewer must either approve the budget or reject the budget (with appropriate
(explanation documented in the system) and the budget will be automatically routed to the next appropriate step in the workflow.

k. Approval — Once a budget is approved through the user interface, it will become the current budget and used as the basis of reporting for the applicable fiscal year.

l. Revisions — The system must allow budgets to be revised mid-year, within the automated workflow configured by the University. When a revision is approved, the revision must become the current budget.

m. Versioning — All changes to approved budgets must utilize version control to track what values were changed, by whom and when.

n. Auditing — The system must track all budget changes via an audit log.

o. Commitments — The system must support the ability to define and track fiscal commitments. The system should support the use of commitments during the budgeting process. The system should support commitments for up to 30 years in the future.

p. Allocations — The system must allow budget administrators to allocate funds from any funding source to a budget line item. The basis for the allocations will include financial and non-financial data and statistics as defined by the budget administrator.

q. Account Structures — The system must support multiple General Ledger (GL) account structures and multiple reporting segments within the account, and allow for consolidation of multiple accounts into one budget.

r. Accounting Methods — The system must support the ability to budget using the following accounting methods.
   - Cash Basis — Revenues recognized when received and expenses recognized when paid.
• Modified Cash — Revenues recognized when received and expenses recognized when owed.
• Accrual Basis — Revenues recognized when earned and expenses recognized when owed.

s. Budget Statistics — The system must have the capability to calculate statistics based on both financial and non-financial data, and include those statistics in the budget process and reports.

t. System & User Interface — Budget administrators must not have to “pull data” from multiple disparate systems in order to do any budget or faculty remuneration operation. All data and functions necessary to do budgeting or faculty remuneration plans must be available from within the user interface.

u. Budget Variance — The system must be able to track and report budget variances from the approved budget, as well as actual variances between defined periods.

v. Rates — The system must be flexible enough to support multiple fringe benefit rates. The system must be able to apply the correct rates against the appropriate salaries during budgeting and financial calculations.

2. Financial Reporting and Analytics Business Requirements
Provide an accurate and consistent view of the consolidated financial health of the organization(s) from the aggregate level down to the individual faculty/provider level. This includes both aggregated and detailed financial statements including, but not limited to, balance sheet, income statement and cash flow statement for each organization, department/center, division, and employee. Provide financial reports that include details on complete FTE counts for all organizations, departments, divisions, and centers. Provide for the ability to track actual and variances automatically.
a. Organization Reporting — The system must support the reporting of the following financial statements at multiple levels including consolidated, department, division, and individual faculty member.
   • Balance Sheet
   • Income Statement or Statement of Current Funds
   • Statement of Cash Flows
   • Statement of Changes in Net Assets

b. Individual Reporting — The system must support the reporting of the University and HSF (where applicable) direct and indirect expenses by faculty in order to support the activities associated with Faculty Remuneration Planning (FRP) and other reporting which requires individual employee income statements.
   • Income Statement — The system must support revenues and expenses at the individual employee level for a given period of time.
   • Productivity — The system must support clinical and research productivity reporting for individual faculty. For clinical productivity this will include Relative Value Units (RVUs) relative to clinical effort over a given period of time. For research productivity this will include reporting extramural support garnered per research space utilized. The system must also be able to store multiple benchmark productivity metrics and provide for comparisons between benchmark and actual productivity.
   • FTE Reporting — The system must be able to calculate and report the total number of FTEs along with relevant employee information (i.e., HR data).

c. Accounting Methods — The system must support the ability to generate all financial statements using the following accounting methods.
• Cash Basis — Revenues recognized when received and expenses recognized when paid.
• Modified Cash — Revenues recognized when received and expenses recognized when owed.
• Accrual Basis — Revenues recognized when earned and expenses recognized when owed.

d. Elimination Entries — The system must provide for a process of inter-company elimination entries in the consolidated financial reports that merge financial data from two or more entities.

e. Historical Analysis — For organization and individual level reports, the system must support historical reporting and analysis comparing specific dimensions up to at least five years in the past to show trends in historical performance.

f. Forecasting Analysis — For organization and individual reports, the system must support forecasting of future values based upon historical values, up to at least five years in the future (and 30 years for commitments). The system must provide the ability to apply a defined percentage to historical values (e.g. 5% increase or 10% decrease “across-the-board”). The system must support the ability for end users to override specific forecasted values.

g. Industry Benchmarks — The system should support the storage, maintenance and usage of industry benchmark data, and benchmark data defined by the University, for use in financial and analytical reporting. For example, the system should be able to report a faculty member’s salary as compared to industry colleagues (e.g. salary is in 90th percentile). The system will also store annual benchmarks so these can be tracked and reported over time.

h. Report Browsing — The system must support the ability to browse and download previously executed reports. User selected parameters/categories should be available for use in navigating
reports (such as Organization and Date). The system must support the ability to limit data viewed within a report based on user security/access.

i. Report Scheduling — The system must support automated recurring scheduling and execution of all defined reports in the system. The system should be flexible with respect to scheduling (i.e. 1st day of the month, 2nd Monday of the month, Bi-weekly, etc.). Reports must be added and removed from the scheduler through the user interface.

j. Report Delivery — The system must support the automated delivery of scheduled reports to a web-based repository to be sent to defined subscribers, as well as delivery via Microsoft Outlook email attachment to defined subscribers. Report subscribers can be individuals or groups of individuals. Report subscriber maintenance (add, edit, delete) must be possible through the web based user interface.

k. Report Formats — The system should be flexible with respect to the formatting of reports. At a minimum the system must support Adobe PDF, Microsoft Excel, XML, CSV, HTML, and delimited file reporting formats.

l. Report Versioning — The system must support the versioning of all reports, so that changes to reports must utilize version control to track what values were changed, by whom and when.

m. Data Analysis — The system must support the ability to “slice and dice” thousands of pieces of financial and analytical data to support ad-hoc analysis within response times indicated in the General Technical Requirements section below. The system must support data analysis tools that facilitate “roll up” and “drill down” analysis along key dimensions. An analyst should be able to do all necessary analysis through the user interface without relying on “pulling data” from multiple disparate systems.
n. Report Templates — The system must support the concept of report templates — the code, controls and view information necessary to execute against a data set and produce a report.

- Create — The system must support the ability to create a new report template and save it on the system for later execution.
- Execute — The system must support the ability to run a report template on-demand (now) or scheduled in the future. The results of executing the report template will create a new report.
- Edit — The system must support the ability to open a previously saved report template, edit and save it on the system.
- Delete — The system must support the ability to delete a report template from the system.
- Clone — The system must support the ability to create a new report template by copying a previously developed template, regardless of who created the original template.
- Development — The system must support an efficient and effective method of developing new report templates through the user interface. It should take an average user skill level to create, test, debug and save new report templates.
- Version Control — The system must support the ability to version control report templates, including the ability to view and roll back to previous revisions. Functionality should be similar to that found in software version control systems (such as CVS, Subversion or Microsoft TFS) including traceability and audit logging.

NOTE: Firms must complete Attachment 6, Appendix 1, Budget and Financial Reporting Requirements, as part of their response package.
3. General Technical Requirements

The University requires a robust, stable environment that includes reliable disaster recovery. In describing solutions, firms should state their ability to deliver:

a. Availability — All systems in the solution must be operational and available for querying and processing between 7:00 a.m. and 11:00 p.m. eastern time, seven days per week with weekend maintenance windows no longer than eight hours for doing routine system maintenance. During system availability times, the system must have no more than 60 minutes per year unplanned outage (99.99% uptime).

b. Security — The system must interface with an existing LDAP compliant repository that stores and manages all usernames, passwords and groups. Requirements are defined in Attachment 6, Appendix 3., UVA Medical Center (UVaMC) Security Requirements and University of Virginia Health System Active Directory/LDAP Integration Read, write and execute permissions must be managed in the system. The new application should allow creation and maintenance of roles and assignment of rights/permissions to the roles.

1. Single Sign On (SSO) Authentication — Authentication checks should be seamless for the user by allowing for integration with the system with PubCookie. PubCookie is the University’s standard and works with most Apache or Microsoft IIS-hosted web sites. Users that are not authenticated should not be permitted to use any function in the system.

2. Authorization — Authorization checks should be done before a defined user role is allowed to access any function in the system. Authorization and permissions should be done within the System. If a user does not have the
appropriate permissions to perform a function, the system must not allow the function to be seen visually or executed.

3. Transmission — SSL is required for all data transmissions. However, there are security implementation requirements that must be addressed when implementing the System in order to be in compliance with the University’s and HSF’s security policies, such as, interfacing with systems in multiple network domains. The firms should be prepared to discuss in more detail the System’s ability to meet the security policies.

4. Encryption — The system must support the encryption of sensitive data within the system (e.g., passwords and Social Security Numbers); and must support the encryption of all data transmissions into and out of the system.

5. Field Level or Row Level Security — The system must support field level or row level security such that sensitive data can be protected.

6. View Level Security — The system must support view level security such that specific views of data (i.e. application screens) can be restricted to certain users.

7. Security Reporting — The system must be able to log all audit and security information defined as necessary by the system administrator(s). The system must provide the ability to flexibly configure the necessary fields and events through a user interface. The system will preferably contain audit and security reports “out of the box”, and will also provide the ability to design and run other routine and ad-hoc audit and security reports as needed.

c. Storage Capacity — The system must support terabytes of data storage, including audit and security data, and have appropriate capabilities for allocating, storing, indexing, managing and
truncating data sets defined by the University. The system may leverage appropriate third-party tools if necessary to do this. The system must not preclude the use of advanced storage methods and devices such as RAID, SAN or NAS.

d. Throughput — The system must support the following processing throughput:
   - Importing — The system should be able to run import jobs in a timely manner with performance no less than 1,000 rows per second.
   - Exporting — The system should be able to run export jobs in a timely manner with performance no less than 1,000 rows per second.

e. Concurrent Users — The system must support at least 100 concurrent users with response times as defined below.

f. Affiliates — The Selected Firm must allow for affiliates of the University to manage and access the system under this Agreement.

g. Response Time — The system should have response times no worse than 3 seconds for the most-used functions and preferably less than 1 second. The system must be tunable to deliver the fastest performance based on usage patterns. Response time for error-free ad-hoc queries must be less than 30 seconds and preferably less than 2 seconds. Preferably, the system will have the ability to predict and notify the user of expected query response times.

h. Scalability — The system must be scalable by adding additional resources (such as hardware or devices) to achieve performance levels above those defined here should the need arise. This must be done without major reconfigurations of the system (preferably in a plug-and-play fashion).

i. Recoverability — In the event of a system crash, the system should be recoverable by trained administrators and back online in less
than one hour and preferably less than 15 minutes (best case).
During recovery there should be absolutely no data or
configuration losses. The system should include automatic
failover, with failover plan and hardware, and redundant hardware
at a remote data center(s) for protection in the event of a total
system crash.

j. Conversion — The system must be able to convert at least five
years of data from all systems referenced in Figure 2, and must be
able to import that data into the system, including an automated
process for data validation.

k. Patches and Upgrades — The system must support the installation
of patches (including firm-specified patches), and minor and major
upgrades from the firm without loss of any data or current
configuration settings in the process. If a patch or upgrade fails to
resolve an issue, the system must be “rolled back” to a previously
stable version. Patches and upgrades must be successfully
executed in a test environment prior to installation in the
production environment. Patches and upgrades into production
must be completed within defined maintenance windows.

l. User Interface — The system must support a web-based user
interface for all operations and administrative functionality.
Supported web browsers include MS Internet Explorer v6 and v7.
The user interface must have the ability to be compatible with
future web-browser versions.

m. Client Platforms — The system must support the Microsoft
Windows and Apple’s OS X platforms for users.

n. Server Platforms — The system must support the Microsoft
Windows Server 2003 and 2008 platform. The server must be
patched on a scheduled basis (monthly, or as requested by the
University). The system must be compliant with current and future
Microsoft Windows Server patches as they are released.
Data Import — The system must support the importing of data from multiple disparate systems including but not limited to those described in the System Context diagram (Figure 2) above.

- Data Mapping — The system must support the ability to flexibly map data from disparate systems into the system through functions in the user interface.
  
a. Basic — The system must support data mapping capabilities such as string parsing, data formatting, numerical calculations, reference data look-up and data validations.

b. Column — The system must be able to map a single column of imported data to multiple columns in the system and vice-versa (multiple input columns map to a single system column).

c. Advanced — For complex data mapping, the system allows the user or administrator to register custom-developed code (such as SQL or a programming language). Preferably this code could be developed in the user interface, but the use of third-party tools is acceptable so long as the resulting code can be uploaded, integrated and managed through the System’s user interface.

d. Business Rules — The system must support the definition and management of business rules for data mapping and validation including, at a minimum, control structures (if/then, for/each, while/until) that will analyze the data during importing and make appropriate mapping and validation decisions based on user-defined business rules.
e. Reusable Functions — The system must support the ability for the University to centrally create re-usable data mapping functions containing business logic that can be used for many different import tasks. This functionality should also be available non-centrally to individual users.

- File Formats — The system must support importing data using defined file formats (Microsoft Excel, CSV, delimited and XML at a minimum).

p. Data Export — The system must support the exporting of data to multiple disparate systems including but not limited to those described in the System Context diagram (Figure 2) above.

- Data Mapping — The same capabilities as described above in Data Import - Data Mapping must be available for data export, including requirements for Basic, Column, Advanced, Business Rules and Reusable Functions.

- File Formats — The system must support the exporting of data using defined file formats (Microsoft Excel, CSV, delimited, fixed-width column and XML formats at a minimum).

q. Data Import / Export Jobs — The system must have the ability to define a scheduled job comprised of a series of tasks that will automate the importing and exporting of data at a specific point in time and/or based on an event and/or based upon a specific trigger by a user. The system must support these scheduled jobs both as discrete events and also on a recurring basis. After the job task has completed it must generate a status report and an exception report. These reports will be displayed to the user or automatically sent to a defined set of subscribers, whichever the University deem is most appropriate.
• Status Report — Each time an import or export job is run, a status report will be produced that describes whether the job succeeded without errors the elapsed time and total rows imported/exported (at a minimum).

• Exception Report — If any errors occur while running an import/export job, a report will be produced that describes at a minimum the error and as much diagnostic information as possible including the data line number / record count and specific field where the error occurred.

r. ETL — The system must support importing data from a third-party relational database through an Extraction Transform and Load (ETL) tool registered with an Import/Export job. This tool should either be included in the system or tightly integrated with a third party best-of-breed ETL tool.

s. Administration — All system administration functions and configurations should be accessible by the administrator through a web browser interface without requiring system access to the hosting server.

t. Printing — The system must have a printing functionality, preferably from the user interface.

u. Help — The system must provide help documentation through the user interface. The help should be context-sensitive and facilitate a prompt resolution to issues encountered during operation.

v. Support — The Selected Firm must provide defined levels of support that include email and phone support at a minimum between 8:00 a.m. and 5:00 p.m. Eastern Time Monday through Friday.

NOTE: Firms must complete Attachment 6, Appendix 2, as part of their response package.
B. Implementation Services

The University will require the Selected Firm to assist in the pursuit of the CBFRAS implementation goals. The University is particularly interested in identifying an implementation firm with demonstrated ability to:

1. Understand key medical school and practice plans budgeting and financial reporting-related business activities and provide expert guidance on the reengineering of these processes in the context of the application’s delivered functionality;

2. Integrate its methods and philosophies with those of the University, and develop relationships and strategies that correspond to the culture of the institution;

3. Understand the integration points as depicted in Attachment 5, figure 2.

4. Have proven experience solving the issues that arise while implementing a budget and financial system in higher education research institution(s) that are comparable in size, culture, and complexity to the University;

5. Facilitate resolution of issues related to the budget and financial reporting system implementation with implementation team members and key stakeholders;

6. Competently and quickly identify and solve the functional and technical issues that arise in a complex computing environment, and provide adequate guidance to minimize implementation and operational risks;

7. Provide project management, including a project manager, capable of meeting schedule, budget, and functionality objectives and facilitating the proper level of project controls, communications strategies, and change;

8. Incorporate third party applications into the planning, phasing, budgeting, and resourcing for the project;

9. Effectively mentor and provide knowledge transfer on the specific budget and financial reporting system and implementation techniques;

10. Provide post-implementation planning and support according to the University’s requirements, and
11. Disclose information related to third party applications that may affect planning, budget, or University policy.
12. Provide implementation schedule.

C. Technical Services
Procurement of the following technical services is being considered to supplement the knowledge and skills of University staff:
1. Provide infrastructure development and integration expertise (including databases, environments, hardware, operating systems, security, etc.) capable of establishing long-term infrastructure that will support and grow with development of budget and financial processes within the overall consolidated system;
2. Provide interface expertise on application security, set-up, configuration, and customization/extensions;
4. Provide and integrate application methodologies and environments with University practices that ensure application quality and change control;
5. Provide expertise in application data conversion methodologies, techniques, and tools to ensure all required data are migrated successfully;
6. Provide expertise and knowledge transfer on data warehouse and reporting strategies, including approaches to design and implementation that ensure the University provides information to handle compliance, operational, query/one-time, and management reporting;
7. Provide expertise and knowledge transfer in software installation, set-up, performance tuning, monitoring, and load testing as related to the budget and financial reporting applications, and
8. Provide expertise and knowledge transfer on technical post implementation planning and support.
D. Educational and Training Services
The University will require support, initial and ongoing educational and training systems, and related services for the development, implementation, management, administration, use, and maintenance of the budget and financial reporting business processes and software. Training may be required on site, online, or in other appropriate formats. In addition to training on the system’s business processes and software, the University is interested in understanding the firm's recommended training plan for support of the implementation project itself including ongoing training on new functionality. These services are needed for functional, technical, and professional staff, managers, and end users. Firms are encouraged to recommend and propose all education options available to the University that they believe will assist the University in meeting its strategic directions for administrative improvements.

E. Operating Requirements
The University requires a robust, stable environment that includes reliable disaster recovery. In describing systems (hosted and non-hosted), firms should state their ability to deliver:
1. Resolution of critical network and platform failure events (unplanned outages) not to exceed one hour;
2. Resolution of all other network and platform failure events not to exceed 24 hours;
3. Planned system maintenance not to exceed three hours according to the University’s needs;
4. System availability metrics for the past two years;
5. System availability for querying and processing between 7:00 a.m. and 11:00 p.m. Eastern Time, seven days per week with weekend maintenance windows no longer than eight hours for doing routine system maintenance;
6. Details regarding back-up and retention policies;
7. An acceptable disaster recovery plan;
8. No system restrictions on number of daily interfaces to outside vendors or the University’s Oracle System or HSF’s Epicor and UltiPro systems; and
9. Details describing how the system is sized to provide optimal response times for users and to handle a significant volume of concurrent system users.

F. Customer Support / Maintenance / Warranty Requirements

The Selected Firm must provide, at a minimum, the following:

1. Software maintenance (including patches and upgrades) and warranties;
2. Software maintenance and release schedule;
3. Technical support during project stabilization and ongoing;
4. Mechanisms for the introduction of new features/enhancements;
5. The firm’s system for defect reporting;
6. The firm’s support capabilities, including hours of operation, applicable charges, and methods of support;
7. Resolution of any and all identified mission critical issues. The Selected Firm will work 24/7 until resolution, and the University will make support staff available 24/7 to work with the Selected Firm toward resolution of the event. The definition of mission critical events is at the sole discretion of the University;
8. Complete user, administrative, technical, and training documentation;
9. Full disclosure of ongoing costs, including changes to appropriate maintenance of the system and customer support for the duration of the contract, and
10. Description of how the Selected Firm will provide a satisfactory response to University-supplied modifications to the application(s) and associated information. The University’s expects to receive a “90% solution” within forty-eight hours and a “100% solution” within five business days.
IV. Basis of Selection

The University will evaluate proposals and, if a firm is to be selected, select the firm on the basis of:

A. The firm’s planned approach and demonstrated ability to assist the University to meet its goals, including the desired End State, for services as discussed in Section II, Background Discussion and Goals of the University, and Section III, Scope of Goods and Services;

B. The firm’s relevant experience, qualifications, and success in providing the goods and services outlined in this RFP at a comparable higher education institution and physician practice plan;

C. The firm’s references from institutions of higher education and other clients, which are comparable to the University;

D. The firm’s financial proposal including, but not limited to, discounts, service charges and other charges;

E. The quality of the proposal – specifically, responsiveness to implementation, technical, and educational and training services requirements and adequacy of information provided;

F. The contractual terms which would govern the relationship between the University and the Selected Firm, to include the firm’s response to the University’s preferred contractual terms as outlined in Attachment 2, Preferred Contractual Provisions, and any documentation the Firm would require the University to sign;

G. The firm’s plan for the utilization of Small, Women-owned and Minority-owned (SWAM) businesses (see Attachment 4, COO Letter). In evaluating the firm’s proposal, the University will assign a minimum of 10 percent of the total selection weight to this individual selection criterion; and

H. Any other factors relevant to the firm’s capacity and willingness to satisfy the University
V. Contents of the Proposal

Firms interested in responding to this RFP should prepare their proposals simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirements of the RFP. Unnecessarily elaborate brochures and other presentations beyond that sufficient to present a complete and effective proposal are not desired and may be construed as an indication of the firm’s lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor desired.

A. Cover Letter and Signature Page

A cover letter must be bound into the proposal and must include the signature of an authorized representative of the firm. Include in the letter the person(s) responsible for developing its RFP response and the firm’s primary contact during the RFP process, to include phone numbers and email address.

B. Firm Information, References, Personnel

1. Firm Information

   a. A brief description of the company and its experience in providing budgeting, financial reporting and financial analytics systems. Include how long the company has been in business, company size, locations and organizational structure.

   b. A description of the company’s current client base, including total number of clients; as well as a description of the company’s resources dedicated to client support, development, technical support, and implementation.

   c. Provide a copy of the firm’s most recent audited financial statements including the auditor's notes and/or opinions on these statements.

   d. Provide the amount of annual sales the firm has with each VASCUPP Member Institution. A list of the VASCUPP Members can be found at [http://www.vcu.edu/procurement/coopcon.htm](http://www.vcu.edu/procurement/coopcon.htm)
e. Provide the name of the individual responsible for the firm’s supplier diversity program. This individual is responsible for implementing and reporting on the firm’s Small, Women-owned and Minority-owned (SWAM) program as it will relate to this procurement should the firm be selected.

f. Provide future development plans for your products, including any impact of recent merger or acquisition activities.

g. A description of how you differentiate your solutions from your competitors.

2. References

a. Provide a summary of the company’s presence in the higher education, medical school, physician practice plan and non-profit marketplace. Provide the number of higher education placements in total and in the last five years for the proposed solution. Identify other placements for the proposed solution that have characteristics similar to the University; for example, large scale not-for-profit foundations, and large private sector businesses with comparable user base and/or structure.

b. Provide references for a minimum of three higher education institutions, preferably complex research universities, implementing a consolidated budgeting and financial reporting software. The contact name, title, e-mail address, and telephone number at each referenced institution must be provided, along with the software and implementation services provided. The University may contact and/or visit any of these reference institutions.

c. Provide a complete list of all consolidated budgeting and financial reporting system clients lost within the last three years. The list should include a contact name, telephone number, email address, length of service of the account, and the reason for the loss of the account.
3. Personnel Proposed for Project
Propose the names of personnel who will be assigned to the project, including resumes and experience at other higher education research institutions, not-for-profit foundations and physician practice plans. Also, identify the firm’s Contract Administrator, who will be the individual to serve as a point of contact for day-to-day operations. It is not expected that this person would be authorized to approve amendments to the Agreement or to approve price changes.

C. Response to Goods and Services
1. Software — Describe in detail the firm’s product(s) including all features, functions, and services detailed in Section III. A, to include the functional requirements to be delivered, configured and customized and the technical architecture of the CBFRAS. (Responses to functional and technical requirements described in Attachment 6 Appendix 1 and Appendix 2 are expected by the University to be included in the format provided in the RFP.) Provide a description of any third party tools, the database that is required, and the programming language of CBFRAS. Firms should clearly communicate how their offerings will help the University address its administrative service goals, which are articulated in the End State objectives (Section II. D)

2. Implementation — Describe the implementation services and specific methodologies the firm is offering to the University based on requirements detailed in Section III. B. Firms should clearly communicate how their offerings will help the University address its administrative service goals, which are articulated in the End State objectives (Section II. D). This plan should detail activities from the start of system implementation through a mutually agreed upon stabilization period(s).
3. Technical — In this section firms should provide information about their capacity to address the University's technical needs as described in the End State objectives (Section II.D) and in Section III.C.

4. Education and Training — In this section firms should provide information about their capacity to address the University's educational and training needs described in the End State objectives (Section II. D) and in Section III. D.

5. Operations — In this section firms should provide information about their capacity to address the University's operating needs described in the End State objectives (Section II. D) and in Section III. E. Identify the hardware and desktop requirements necessary to run the CBFRAS and options for installing the software on the University’s equipment.

6. Customer Support / Maintenance / Warranties — In this section firms should provide information about their capacity to address the University’s needs for customer support, maintenance and warranties described in the End State objectives (Section II. D) and in Section III. F.

D. Pricing Proposal

Attachment 6, Appendix 4, Pricing Sheet Guide is provided as a template for submitting this information.

1. Describe any and all fees and expenses the firm proposes to charge the University for the Goods and Services. Ensure that all fees and expenses associated with provision of the Services are delineated.

2. Describe how the University will be charged for the implementation and for on-going support. For implementation, the University will accept either fixed fee or time and material (with a cap on time and materials) proposals. Include any additional discounts available for early payment of invoices.

3. Describe how the firm would propose to allow the University to withhold a portion of its total fees for the Services in order to guarantee that the
CBFRAS implementation has been performed successfully and the desired End State achieved.

4. Describe how the firm would provide the University with code for the system, to be held in escrow, in the event that the Selected Firm cannot meet contract obligations. (Refer to Attachment 2, Provision X, Escrow).

5. State the firm's capability for accepting electronic payments through Automated Clearing House (ACH) and/or purchasing card and provide any additional discounts that may result from paying electronically.

6. Describe how the University will benefit from cost savings by accepting the firm’s proposal.

E. Contractual Arrangements
1. State the firm's acceptance of Attachment 1, Mandatory Contractual Provisions.

2. State the firm's acceptance, with any proposed modifications, of Attachment 2, Preferred Contractual Provisions.

3. Provide the University with any form or contract the University may be requested to sign.

F. Small, Women-owned and Minority-owned (SWAM) Business
The University is committed to the goal of non-discrimination and to giving fair consideration for all vendors in its procurement programs. The University has set a voluntary goal of doing 5% more business with SWAM firms each year. The University’s 2009 SWAM plan spend target for firms certified by the Commonwealth of Virginia’s Department of Minority Business Enterprise (DMBE) is:

<table>
<thead>
<tr>
<th>Category</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minority Business Enterprises</td>
<td>4.0%</td>
</tr>
<tr>
<td>Women Business Enterprises</td>
<td>5.0%</td>
</tr>
<tr>
<td>Small Business Enterprises</td>
<td>31.0%</td>
</tr>
</tbody>
</table>
This goal does not allow for "set aside" purchases. SWAM firms must compete equally with majority firms and be able to provide the University with quality goods and services at competitive prices. To view the University’s current quarterly achievements, click here (Current SWAM Report). As this report shows, the University is in need of assistance in the Minority-owned and Women-owned categories. Please tailor your firm’s SWAM plan to assist the University in meeting its goal.

Provide the following information:

1. Specify whether the firm is a SWAM. Firms can only be considered a Small, Women-owned or a Minority-owned Business Enterprise if certified by the Commonwealth of Virginia’s Department of Minority Business Enterprise (DMBE). All certified SWAM firms will be assigned a specific identification number. No SWAM firm is required to certify under this program and no SWAM firm will be excluded from doing business with the Commonwealth because of their failure to certify as a SWAM firm. If the firm is not a SWAM firm, describe the firm’s partnering relationships with SWAM firms and how it plans to support the University’s goal to increase business annually by 5% with these firms in accordance with Attachment 4, Executive VP and COO’s Request for Commitment letter.

2. Provide the name of the individual responsible for the firm’s supplier diversity program. This individual is responsible for implementing and reporting on the firm’s SWAM program as it will relate to this procurement should the firm be selected.

G. Other Information

Provide any other information which the University should consider in evaluating the firm’s proposal.
VI. Information about this RFP

A. Procurement Schedule

Here is a brief schedule for this procurement, specifying the important dates and milestones:

Issue Date of RFP: 07/31/2009
Preproposal Conference: 08/19/2009
Deadline for Receipt of Proposals: 09/04/2009
Oral Presentations: 10/07 – 08/2009
Negotiations: 10/28/2009
Expected Contract Award: 12/18/2009

B. Issuance of RFP and Questions

The Issuing Office for this RFP is:

Procurement Services
University of Virginia
1001 North Emmet Street
P.O. Box 400202*
Charlottesville, Virginia 22904-4202

NOTE: If RFP proposal is sent U. S. Postal Service use the P. O. Box. The University does not take responsibility for lost or misdirected mail.

Attention: Michael Warlick, Senior Buyer
Telephone: (434) 924-8918
Fax: (434) 982-2690
TDD: (434) 982-HEAR
Email: warlick@virginia.edu

Any questions concerning this RFP will be directed to Michael Warlick as listed above and not to any other person at the University, with the exception of issues directly related to SWAM business and SWAM subcontracting opportunities. Such SWAM issues may be alternately directed to Bill Cooper, the University’s Director of Supplier Diversity, at (434) 924-7174 or wsc6ja@virginia.edu. The University will determine whether any addenda should be issued as a result of any question or other matters raised.
C. Preproposal Conference
A conference for firms receiving this RFP will be held on Wednesday, August 19, 2009, 1:30 p.m. EDT in Carruthers Hall Conference Room #E, Charlottesville, Virginia (map viewed at this web site: http://www.virginia.edu/Map/.) Attendance at this conference is advised if your firm wishes to raise any questions in connection with this RFP. Please print a copy of the RFP and bring it with you as no additional copies will be provided at the conference. The University intends to present general information which may be helpful in the preparation of proposals and to offer firms the opportunity to ask questions concerning this RFP. No firm may have more than two representatives present at the conference.

Firms planning to attend the Preproposal Conference should notify Rebecca Sims by email (pur-rfp@virginia.edu), no later than 3:00 p.m. EDT on Monday, August 17, 2009 of the names, titles, and phone numbers of the individuals who will attend.

D. Proposal Deadline
All proposals must be received at the Issuing Office by 3:00 p.m., EDT, Friday, September 4, 2009. Twelve copies of each proposal must be provided in individual, bound volumes. Firms must also include an electronic copy of the proposal on a CD-ROM, excluding any pre-printed materials such as financial statements. The electronic copy should be formatted as a Microsoft Word document.

E. Oral Presentations and Negotiations
An oral presentation by two or more firms may be required after written proposals are received by the University. If the University requires such a presentation, the Issuing Office will schedule a time and place. Each firm should be prepared to discuss and substantiate any of the areas of the proposal it submitted, its own qualifications for the services required and any other area of interest relative to its proposal. Oral presentations are tentatively scheduled for Wednesday, October 7,
2009 and Thursday, October 8, 2009. Negotiations with two or more firms will be conducted by the University on the firms' financial proposals and proposed terms and conditions. Negotiations are tentatively scheduled for Wednesday, October 28, 2009.

F. Communications between the University and the Firms regarding this RFP

Informal Communications

From the date of receipt of this Request for Proposal by each firm until a binding contractual agreement exists with the Selected Firm and all other firms have been notified, or when the University rejects all proposals, informal communications regarding this procurement will cease. Informal communications will include but not be limited to:

1. Requests from the firms to any department at the University, with the exception of Procurement Services for information, comments, speculation, etc.;
2. Requests from any department at the University, or any employee of the University, with the exception of Procurement Services for information, comments, speculation, etc.

Formal Communications

From the date of receipt of this Request for Proposal by each firm until a binding contractual agreement exists with the Selected Firm and all other firms have been notified, or when the University rejects all proposals, all communications between the University and the firms will be formal, or as provided for in this Request for Proposal, or as requested by Procurement Services. Formal communications will include but not be limited to:

1. Preproposal Conference
2. Oral presentations
3. Site visits, Interviews, etc.
Any failure to adhere to the provisions set forth in Informal Communications and the Formal Communications sections above may result in the rejection of any firm's proposal or cancellation of this RFP.

G. Formation of the Agreement with the Selected Firm

All proposals received will be carefully evaluated by the University. The University will then select two or more firms deemed to be fully qualified and best suited among those submitting proposals, on the basis of evaluation criteria described in this RFP. The University will then conduct negotiations with each of these firms. After negotiations have been conducted, the University will select the firm which, in its opinion, has made the best proposal. The University will award the agreement to the Selected Firm by either of these methods:

1. Accept the proposal as written by issuing a written notice to the Selected Firm which refers to this RFP and accepts all or part of the proposal submitted in response to it and/or any addenda submitted during the negotiation process; or

2. Execute a mutually satisfactory written agreement based on this RFP, the proposal submitted, and the negotiations concerning these.

3. If the University determines in writing and in its sole discretion that only one firm is fully qualified, or that one firm is clearly more highly qualified than the others under consideration, it may decide to negotiate and award an agreement to that firm.

Because the University may use alternative (1) above, each firm must include in its written proposal all requirements, terms or conditions it may have, and should not assume that an opportunity will exist to add such matters after the proposal is submitted.

Firms should also note that, as described in Section H below, Provisions Deemed Included in the Proposal, certain matters will automatically be deemed part of the proposal.
H. Provisions Deemed Included in the Proposal

The University will consider each proposal to include not only the matters expressly stated in the proposal as requested in Section V, Contents of the Proposal, but also other provisions which consist of two different types: those which are "mandatory" and cannot be changed by a firm in its proposal; and those which are "preferred" by the University, but which a firm may wish to alter by expressly and specifically so stating in its proposal.

The University includes mandatory provisions so that all proposals will be governed by the same basic contractual terms. The University encourages any firm which feels that a mandatory provision is unreasonable to contact the University before proposals are due so the University can consider amending the provision. The University includes preferred provisions so that any difference between the firm and the University's preferred contractual provisions can be considered during the University's evaluation of proposals.

1. Mandatory Provisions

Each proposal received by the University in response to this RFP will automatically be deemed to include the firm's agreement to the provisions of (a) and (b) below. Although such provisions will govern the firm's proposals as submitted, the University and one or more firms may later mutually agree to amend such provisions, such as when additional time is needed to consider proposals, or when contractual negotiations or performance indicate that such amendments are appropriate.

a. The proposal constitutes an offer by the firm which will remain open and irrevocable for a period of 120 days from the deadline for submitting proposals as stated in Section C, Proposal Deadline.

b. If selected by the University, the provisions governing the firm's performance will include all the provisions of Attachment 1, Mandatory Contractual Provisions.

Unless a firm expressly and specifically provides otherwise in its written proposal, the proposal received by the University in response to this RFP will automatically be deemed to include the firm's agreement to these provisions:

a. The firm consents to the University contacting and obtaining any information relevant to this RFP from the references and others identified by the firm in its proposal, as well as from any other persons, firms, or organizations which the University wishes to contact; and

b. If selected by the University, the provisions governing the firm's performance will include all the provisions of Attachment 2, Preferred Contractual Provisions.

I. Rejection of Proposals

The University reserves the right to reject any or all proposals received. Non-acceptance of a firm's proposal will mean that one or more proposals were deemed more advantageous to the University or that all proposals were rejected. Firms whose proposals are not accepted will be notified after a binding contractual agreement between the University and the Selected Firm exists, or when the University rejects all proposals.

J. Virginia Freedom of Information Act

Except as provided below, once an award is announced, all proposals submitted in response to this RFP will be open to the inspection of any interested person, firm or corporation, in accordance with the Virginia Freedom of Information Act. Trade secrets or proprietary information submitted by firms as part of its proposal will not be subject to public disclosure under the Virginia Freedom of Information Act; however, the firm must invoke the protections of this section prior to or upon submission of its proposal, and must identify the specific data or other materials
to be protected and state the reasons why protection is necessary. Firms may not request that its entire proposal be treated as proprietary information.
Attachment 1

Mandatory Contractual Provisions

A. Nondiscrimination
During the performance of this Agreement, the Selected Firm will comply with the contract provisions contained in Section 2.2-4311 (1) & (2) of the Code of Virginia or any successor provisions which may be applicable to this Agreement. Also, in accordance with Section 2.2-4343.1, the University does not discriminate against faith-based organizations.

B. Conflict of Interests
The Selected Firm represents to the University that its entering into this Agreement with the University 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 the Virginia State and Local Government Conflict of Interests Act (Va. Code 2.2-3100 et seq), the Virginia Ethics In Public Contracting Act (Va. Code 2.2-4367 et seq), the Virginia Governmental Frauds Act (Va. Code 18.2-498.1 et seq) or any other applicable law or regulation.

C. Assignment
Neither party to this Agreement will have the right to assign this Agreement in whole or in part without the prior written consent of the other.

D. Amendments
No amendment of this Agreement will be effective unless it is reduced to writing and executed by the University's Director of Procurement Services and by the individual signing the Selected Firm's proposal or by other individuals named by either party as specified in Section E, Notices below. If the Selected Firm deviates from the terms of this Agreement without a written amendment, it does so at its own risk.
E. **Notices**

Any notice required or permitted to be given under this Agreement will be in writing and will be deemed duly given: (1) if delivered personally, when received; (2) if sent by recognized overnight courier service, on the date of the receipt provided by such courier service; (3) if sent by registered mail, postage prepaid, return receipt requested, on the date shown on the signed receipt: or (4) if sent by facsimile, when received (as verified by sender’s machine) if delivered no later than 4:00 p.m. (receiver’s time) on a business day or on the next business day if delivered (as verified by sender’s machine) after 4:00 p.m. (receiver’s time) on a business day or on a non-business day. All such notices will be addressed to a party at such party’s address or facsimile number as shown below.

If to the University:
Eric N. Denby  
Director of Procurement Services  
Carruthers Hall  
University of Virginia  
1001 North Emmet Street  
P.O. Box 400202  
Charlottesville, Virginia 22904-4202  
Fax: (434) 982-2690

If to the Selected Firm:
The person signing the Selected Firm's proposal in response to the University's RFP, at the Selected Firm's address indicated in such proposal; or to such other person or address as either may designate for itself in writing and provide to the other.

F. **Independent Contractor**

Selected Firm is not an employee of the University, but is engaged as an independent contractor. The Selected Firm will indemnify and hold harmless the Commonwealth of Virginia, the University, 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 Selected Firm's performance of this Agreement. Nothing in this Agreement will be construed as authority for the Selected Firm to make commitments
which will bind the University, or to otherwise act on behalf of the University, except as the University may expressly authorize in writing.

G. **Workers' Compensation and Employers' Liability**

The Selected Firm will (i) maintain Employers Liability coverage of at least $100,000 and (ii) comply with all federal or state laws and regulations pertaining to Workers' Compensation Requirements for insured or self-insured programs.

H. **Drug-Free Workplace**

The Selected Firm, its agents and employees are prohibited, under the terms of this Agreement, Code of Virginia Section 2.2-4312, and the Commonwealth of Virginia, Department of Human Relations Management Policy Number 1.05, from manufacturing, distributing, dispensing, possessing, or using any unlawful or unauthorized drugs or alcohol while on University property.

During the performance of this Agreement, the Selected Firm agrees to 1) provide a drug-free workplace for the Selected Firm's employees; 2) 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 Selected Firm's workplace and specifying the actions that will be taken against employees for violations of such prohibition; 3) state in all solicitations or advertisements for employees placed by or on behalf of the Selected Firm that it maintains a drug-free workplace; and 4) 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 vendor.

For the purposes of this section, "drug-free workplace" means a site for the performance of work done in connection with a specific agreement awarded to a Selected Firm, the employees of whom are prohibited from engaging in the unlawful manufacturing, sale, distribution, dispensation, possession or use of any controlled substance or marijuana during the performance of the agreement.
I. **Information Technology Access Act**

In accordance with § 2.2-3504 of the Code of Virginia, the following will apply to all information technology Agreements:

**NON-VISUAL ACCESS TO TECHNOLOGY:** All information technology (the "Technology") which is purchased or upgraded by the University will comply with the following non-visual access standards from the date of purchase or upgrade until the expiration of the Agreement:

- Effective, interactive control and use of the Technology will be readily achievable by non-visual means;
- Technology equipped for non-visual access will be compatible with information technology used by other individuals with whom any blind or visually impaired user of the Technology interacts;
- Non-visual access technology will be integrated into any networks used to share communications among employees, program participants or the public; and
- Technology for non-visual access will have the capability of providing equivalent access by non-visual means to telecommunications or other interconnected network services used by persons who are not blind or visually impaired.

Compliance with the foregoing non-visual access standards will not be required if the Director of Procurement Services, University of Virginia determines that 1) the Technology is not available with non-visual access because the essential elements of the Technology are visual and 2) non-visual equivalence is not available.

Installation of hardware, software, or peripheral devices used for non-visual access is not required when the Technology is being used exclusively by individuals who are not blind or visually impaired, but applications programs and underlying operating systems (including the format of the data) used for the manipulation and presentation of information will permit the installation and effective use of non-visual access software and peripheral devices.
If requested, the Agreement must provide a detailed explanation of how compliance with the foregoing non-visual access standards is achieved and a validation of concept demonstration.

J. **eVA Business To Government Registration**

The eVA Internet electronic procurement solution, web site portal [www.eva.virginia.gov](http://www.eva.virginia.gov), is the Commonwealth of Virginia's comprehensive electronic procurement system. The portal is the gateway for firms to conduct business with state agencies and public bodies. All agencies and public bodies are expected to utilize eVA. All firms desiring to provide goods and/or services in the Commonwealth are encouraged to participate in the eVA Internet e-procurement solution. The Selected Firm is required to register in the eVA Internet e-procurement solution prior to an award being made.

K. **eVA Transaction Fee**

The Selected Firm agrees, by accepting an award as a result of this RFP, that it is a registered eVA vendor and will be subject to an eVA transaction fee, for which the Selected Firm will be invoiced by Commonwealth of Virginia, Department of General Services. Additional information is available at [www.eva.virginia.gov](http://www.eva.virginia.gov).

L. **Contractor License Requirements**

State statutes and regulatory agencies require that some firms be properly registered and licensed, or hold a permit, prior to performing specific types of services. If firms provide removal, repair, improvement, renovation or construction-type services they, or a qualified individual employed by the firm, must possess and maintain an appropriate State of Virginia Class A, B, or C Contractor License (as required by applicable regulations and value of services to be performed) for the duration of the Agreement. It is the firm’s responsibility to comply with the rules and regulations issued by the appropriate State regulatory agencies. A copy of the license must be furnished upon request to the University or VASCUPP member institution.
M. Unauthorized Alien Use

The Selected Firm warrants that it does not knowingly employ an “unauthorized alien,” as such term is defined in the federal Immigration Reform and Control Act of 1986. The Selected Firm furthermore agrees that, during the term of the Agreement, it will not knowingly employ an unauthorized alien.
Attachment 2
Preferred Contractual Provisions

A. Goods and Services
During the term of this Agreement, the Selected Firm will provide for the University the goods and services offered to the University by the firm in its proposal and/or any addenda to its proposal which has been approved in writing by the University and as may be further specified by the University in writing when it selected the firm.

B. Term of Agreement
The term of this Agreement will be for five years, with the ability to renew on the same terms and conditions, for two additional one-year periods if mutually agreeable to the University and the Selected Firm. The Selected Firm and the University will mutually agree at least 180 days prior to each renewal period whether to renew the terms of the Agreement.

C. Contract Administrator
The University will identify a Contract Administrator for any Agreement which results from this RFP. The individual will be the point of contact at the University for day-to-day operations but cannot approve amendments to the Agreement or price changes.

D. Waiver
No waiver of any right will be deemed a continuing waiver, and no failure on the part of either party to exercise wholly or in part any right will prevent a later exercise of such or any other right.

E. Indemnification
The Selected Firm will indemnify and hold harmless The Commonwealth of Virginia, The Rector and Visitors of the University of Virginia, and their agents, employees and officials from any and all costs, damage or loss, claims, liability, damages, expenses (including, without limitation, attorneys' fees and expenses) caused by or arising out of
the performance or non performance of the Agreement by the Selected Firm or its agents or subcontractors, including the provision of any services or products. The Selected Firm warrants that the products, goods and services provided the University may be used by the University without being in violation of any copyright, patent or similar property right or claim by others and will defend, indemnify and save the University (its employees and agents) from and against any such claim.

F. Governing Law
This Agreement will be governed in all respects by the laws of the Commonwealth of Virginia.

G. Termination
If the Selected Firm fails to provide quality goods or services in a professional manner, solely as determined by the University, and, upon receipt of notice from the University, does not correct the deficiency, to the University's satisfaction within a reasonable period of time, not to exceed five calendar days unless otherwise agreed to by both Parties in writing, the University reserves the right to terminate this Agreement upon written notice to the Selected Firm.

H. Non-Appropriation
Funding for any Agreement between the University and a Selected Firm is dependent at all times upon the appropriation of funds by the Virginia General Assembly and/or any other organization of the Commonwealth authorized to appropriate such funds. In the event that funding to support this Agreement is not appropriated, whether in whole or in part, then the Agreement may be terminated by the University effective the last day for which appropriated funding is available.

I. Right of Audit
The University reserves the right to audit or cause to be audited the Selected Firm's books and accounts regarding the University's account at any time during the term of this Agreement and for five years thereafter. The Selected Firm will make available to the
University all books and records relating to performance of this Agreement as may be requested during said period.

J. Contractual Claims

This Agreement is subject to the University's policy on Contractual Claims which is provided as Attachment 3, Procedure for Resolution of Contractual Claims.

K. Insurance

Listed below is the insurance the Selected Firm must maintain under any Agreement resulting from this RFP. In no event should the Selected Firm construe these minimum required limits to be their limit of liability to the University. The Selected Firm will maintain insurance which meets or exceeds the requirements of the University with insurance companies that hold at least an A- financial rating with A.M. Best Company. No Agreement will be executed by the University until the Selected Firm satisfies the insurance requirements of the University. The Selected Firm may be required to provide the University with a valid Certificate of Insurance before providing any goods or services to the University. The University reserves the right to approve any insurance proposed by the Selected Firm.

Commercial General Liability:

The Selected Firm and any Subcontractor will provide a minimum combined single Limit of Liability for bodily injury and property damage of $1,000,000 per occurrence with coverage for the following coverage:

- {X} Premises/Operations
- {X} Personal Injury
- {X} Additional Insured*
- {X} Contractual
- {X} Products/Completed Operations

Automobile Insurance:

The Selected Firm and any Subcontractor will provide a minimum combined single Limit of Liability for bodily injury and property damage of $1,000,000 per occurrence with the following coverage for vehicles operated by their employees.

- {X} Any Automobile
- {X} Owned and Non-Owned Automobiles
*Additional Insured:*

The University will be named as an Additional Insured, and the proper name is: "The Commonwealth of Virginia, and the Rector and Visitors of the University of Virginia, its officers, employees, and agents.

L. Use of Agreement by Third University

It is the intent of this RFP and any resulting Agreement to allow for cooperative procurement. Accordingly, any public body, public or private health or educational institution, or any University related foundation may access the Agreement if authorized by the Selected Firm.

Participation in this cooperative procurement is strictly voluntary. If authorized by the Selected Firm, the Agreement may be extended to the entities indicated above to purchase at fees in accordance with the Agreement. The Selected Firm will notify the University in writing of any such entities accessing the Agreement. No modification of this Agreement or execution of a separate agreement is required to participate. The Selected Firm will provide semi-annual usage reports for all entities accessing the Agreement. Participating entities will place their own orders directly with the Selected Firm and will fully and independently administer their use of the Agreement to include contractual disputes, invoicing and payments without direct administration from the University. The University will not be held liable for any costs or damages incurred by any other participating entity as a result of any authorization by the Selected Firm to extend the Agreement. 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 Agreement no matter the circumstances.

Use of this Agreement does not preclude any participating entity from using other agreements or competitive processes as the need may be.
M. Favored Nations
The Selected Firm represents that the prices, terms, warranties, and benefits specified in 
itits proposal are comparable to or better than the equivalent terms being offered by the 
firm to any present customer.

N. The University's Authorized Representatives
The only persons who are or will  be authorized to speak or act for the University in any 
way with respect to this Agreement are those whose positions or names have been 
specifically designated in writing to Selected Firm by the University's Director of 
Procurement Services.

O. Purchasing Manual
This Agreement is subject to the provi sions of the Commonwealth of Virginia 
"Purchasing Manual for Institutions of Higher Education and Their Vendors" and any 
subsequent revisions, which is available at this web site: 

P. Small, Women-owned and Minority-owned (SWAM) Business Reporting
The Selected Firm will identify and fairly consider SWAM firms for subcontracting 
opportunities when qualified SWAM firms are available to perform a given task in 
performing for the University under the resulting Agreement. The Selected Firm will 
submit a quarterly SWAM business report to the University by the 8th of the month 
following each calendar quarter, specifically the months of April, July, October, and 
January. The Selected Firm will submit the quarterly SWAM business reports to:

Nancy Noblette 
Administrative Assistant to the Director of Procurement Services  
E-mail:  nnn9g@virginia.edu

The quarterly SWAM business reports will contain this information:

• SWAM firm’s name, address and phone number with which the Selected Firm has 
contracted over the specified quarterly period.
• Contact person at the SWAM firm who has knowledge of the specified information.
• Type of goods and/or services provided over the specified period of time.
• Total amount paid to the SWAM firm as it relates to the University’s account.

The Selected Firm’s failure to provide SWAM reports on a quarterly basis which contain the information required by this section and/or the Selected Firm’s failure to comply with the plan for utilizing SWAM businesses submitted by the Selected Firm as part of its proposal and/or negotiation response may be grounds for debarment pursuant to Section 4.M. of the “Purchasing Manual for Institutions of Higher Education and their Vendors.”

Q. Intellectual Property Rights/Disclosure
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 the Selected Firm (or its subcontractors) for the University will not be disclosed to any other person or entity without the written permission of the University. The Selected Firm warrants to the University that the University will own all rights, title and interest in any and all intellectual property rights created in the performance or otherwise arising from any Agreement resulting from this RFP 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. The Selected Firm will execute any assignments or other documents needed for the University to perfect such rights. Notwithstanding the foregoing, for research collaboration pursuant to subcontracts under sponsored research agreements administered by the University's Office of Sponsored Programs, intellectual property rights will be governed by the terms of the grant or contract to the University to the extent such grant or contract requires intellectual property terms to apply to subcontractors.

R. Electronic Procurement Clause
If requested by the University, the Selected Firm agrees to provide and maintain an electronic catalog in the University’s Electronic Marketplace (the “Marketplace”).
Catalogs can be hosted in the Marketplace or a punchout from the Marketplace to the Selected Firm’s website. The University requires the following from its catalog vendors.

Hosted Catalog Firms will:

- Periodically update items, descriptions and pricing. Not to exceed four times per year.
- Use SciQuest functionality to identify product classifications such as hazardous materials, radioactive, controlled substances, etc.
- Address pricing discrepancies within one business day.
- Invoice all items at catalog prices until a new price file is submitted and approved by the University.
- Not increase prices more than once per year and will allow 30 days to review any price changes prior to changing invoiced prices.

Punchout Catalog Firms will:

- Notify the University’s Contract Administrator of pricing and product changes prior to making a change.
- Clearly notate shipping terms, return policy and cancellation policy in the punchout catalog.
- Provide training or help details in the punchout catalog.
- Allow customization of the punchout catalog with the University’s marks, logos and/or necessary language.
- Agree that to the extent the terms and conditions of this Agreement are in conflict with those in the punchout catalog, this Agreement will take precedence.
- Provide an error message as connectivity interruptions arise.
- Have a privacy policy that complies or is similar to the Platform for Privacy Preferences Project (P3P) standards.

The Selected Firm will:

- Ensure that the Catalog data is maintained, updated and accurate.
• Invoice at catalog prices or lower and accept payment of catalog price if there is a discrepancy
• Negotiate freight terms for Marketplace purchases.
• Agree to develop and maintain a delivery performance standard and provide annual reports on such performance
• Register in eVA and maintain its registered status for the term of this Agreement. Additionally, maintain the necessary number of eVA sites for orders to be placed from the Marketplace.
• If necessary will maintain and update accurate Ship to addresses in its system
• Provide reports as required by the University update and maintain its catalog in the system. Such reports may include sales by item, price and quantity sold per time, percentage increase in sales, average lead time, percentage of on-time deliveries and delivery errors.
• Support a manual process for change orders.
• Encourage University user to utilize the UVa Marketplace for placing orders

The University reserves the right to remove the Selected Firm’s catalog from its Marketplace, renegotiate discounts and/or fees and payment of site license fees at anytime during the term of this Agreement.

S. Payment Terms
The Selected Firm may indicate payment terms of less than 30 days so long as those terms also contain a cash discount for early payment. For example: “5% 15/Net 30” would correspond to a 5% discount if paid in 15 days, otherwise net 30. The University will compute discounts from the date of delivery of goods at destination, after final inspection, and acceptance, from the date of completion of services, or from the date the correct invoice is received in Accounts Payable, whichever is later. The University will take the cash discount if payment is made within the specified time frame.

Unless alternate payment terms, with cash discounts, are proposed by the Selected Firm, invoices submitted to the University by the Selected Firm for the Goods and Services
described in this RFP will be paid on a Net 30 days after receipt of the Goods and Services and University receipt and approval of the corresponding invoice.

T. Future Goods and Services
The University reserves the right to have the Selected Firm provide additional Goods and Services under the same favored nations pricing, terms, and conditions across the Selected Firm’s product and service line. Such additional Goods and Services may include Goods and Services that are newly introduced during the term of this Agreement. Such newly introduced additional Goods and Services will be provided to the University at most favored nations pricing, terms, and conditions.

U. Project Manager
The Selected Firm agrees to provide a named individual (“Project Manager”) to implement, perform, and manage provision of the Goods and Services. The University must approve the appointment of the Project Manager prior to execution of any Agreement with the Selected Firm resulting from this RFP. The Project Manager will be the University’s primary contact, although the Project Manager will be assisted by other members of the Selected Firm’s staff in completing key activities.

In the event that the Project Manager or any other individual responsible for the University’s account, is no longer employed by the Selected Firm, is unavailable for any reason, or is performing in an unsatisfactory manner as determined by the University’s Contract Administrator, Selected Firm will propose a replacement for that individual within a reasonable time frame, so as not to significantly delay the provision of the Services to the University. The University reserves the right to approve the replacement, or to cancel the Agreement. If a proposed replacement is accepted by the University, the replacement will provide the Services at rates no higher than the rates of the original individual and in accordance with all terms and conditions specified in this Agreement.

V. Training Material
The Selected Firm, at no charge, will supply the University for the University’s own use,
with all material used by the Selected Firm when providing training services, including the training database.

W. **System Acceptance**

“System Acceptance” will encompass testing and observation of the fully functional and operational System. The University’s Contract Administrator will determine if the System specifications have been met, shortly after installation and integration of the System. Warranty will begin as of the date of System Acceptance. In the event that the University does not accept the System, the University may elect to require the Selected Firm to provide a replacement System or terminate the Agreement.

The University’s Contract Administrator will be the sole representative of the University and will have sole authority to act on the University’s behalf with regard to System Acceptance; provided; however, that in the event of a dispute regarding any material aspect of System Acceptance unable to be resolved by the University’s Contract Administrator, then the procedures in Attachment 3, *Procedure for Resolution of Contractual Claims* will be followed.

X **Escrow**

The Selected Firm, at its own expense, will deposit within thirty (30) days of the Effective Date (and regularly update such deposit) a complete copy of the Application Software and source code with an escrow agent, which will be released to the University upon the occurrence of a “Bankruptcy Event”. A Bankruptcy Event will mean the Selected Firm (a) ceases the active conduct of its business, (b) becomes subject to any bankruptcy or insolvency proceeding under federal or state statute which is not dismissed within 90 days, (c) becomes subject to direct control by a trustee, receiver or similar authority, or (d) has wound up or liquidated its business, voluntarily or otherwise. Upon receipt of written notice from the University to the Selected Firm of the occurrence of a Bankruptcy Event and a request for the release of the escrow materials, the escrow agent will be authorized by the Selected Firm to release the escrow materials to the University.
Attachment 3

Procedure for Resolution of Contractual Claims

The Virginia Acts of Assembly of 2007, Chapter 943, Chapter 3, Exhibit P and its attachments requires contractors with the University to submit any claims, whether for money or other relief, in writing no later than 60 days after final payment; however, written notice of the contractors intention to file such a claim must be given at the time of the occurrence or beginning of the work upon which the claim is based.

The University's procedure for deciding such contractual claims is:

A. The Selected Firm must provide the written claim to:
   Assistant Director of Procurement Services
   University of Virginia
   1001 North Emmet Street
   P. O. Box 400202
   Charlottesville, Virginia  22904-4202

B. Although the Selected Firm may, if it chooses, attempt to resolve its claim by dealing with a University department other than the one stated in Section A above, the Selected Firm must submit any unresolved claim in writing no later than 60 days after final payment to the Assistant Director of Procurement Services if it wishes to pursue its claim.

C. Upon receiving the written claim, the Assistant Director of Procurement Services will review the written materials relating to the claim and decide whether to discuss the merits of the claim with the Selected Firm. If such discussion is to be held, the Assistant Director of Procurement Services will contact the Selected Firm and arrange such discussion. The manner of conducting such discussion will be as the Assistant Director and the Selected Firm mutually agree.
D. The Assistant Director of Procurement Services will mail his or her decision to the Selected Firm within 60 days after receipt of the claim. The decision will state the reason for granting or denying the claim.

E. The Selected Firm may appeal the decision to:

   Director of Procurement Services  
   University of Virginia  
   Carruthers Hall  
   1001 North Emmet Street  
   P.O. Box 400202  
   Charlottesville, Virginia 22904-4202

by providing a written statement explaining the basis of the appeal, within 15 days after the Selected Firm's receipt of the decision.

F. Upon receiving the written appeal, the Director of Procurement Services will review the written materials relating to the claim and decide whether to discuss the merits of the claim with the Selected Firm. If such discussion is to be held, the Director of Procurement Services will contact the Selected Firm and arrange such discussion. The manner of conducting such discussion will be as the Director of Procurement Services and the Selected Firm mutually agree.

G. The Director of Procurement Services will mail his or her decision to the Selected Firm within 60 days after the Director of Procurement Services receipt of the appeal. The decision will state the reasons for granting or denying the appeal.
Greetings:

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

We conduct substantial business with small firms. We have been less effective in securing long-term business relationships with minority-and women-owned businesses. We are determined to improve our record.

I seek your assistance in two areas. First, to the extent practical, I ask that you involve small, women-and minority-owned businesses in the delivery of services you provide to UVa. Second, I seek your help in reporting your results through our quarterly subcontracting reports. The terms and conditions previously provided to your organization outlined this process.

This effort is important to us. We depend on you in so many ways – this is another way that we can partner with your company to make things better.

Sincerely,

Leonard W. Sandridge
Executive Vice President and Chief Operating Officer

LWS:dr
School of Medicine

The SOM, in large measure, is responsible for its financial health. It proposes its own tuition and sets its own financial aid policies, pursues extramural support for its research activities, solicits gifts from alumni and benefactors, and manages its endowments. Additional sources of revenue for the school include income from patient care, patents, and educational seminars. Maintaining these funds and their specific expenditures creates an additional level of complexity for a budgeting system. In addition, many of the fund sources come with restrictions on how the money can be spent. The University has a segment within its chart of accounts to track expenditures by fund source.

While individual faculty members are organizationally aligned with one department, their funding can come from numerous sources - the state, grants, gifts, endowments, patient care and others. Each funding source has specific restrictions on how the money can be spent and thus each funding source needs to be managed separately.

All faculty effort is aligned across four key operational dimensions.
1. Clinical (patient care)
2. Research
3. Teaching
4. Administration

Both revenue and expenses are allocated to and charged against these four dimensions. Financial reports and budgets reflect these four operational dimensions accordingly.

To build an accurate annual budget it is essential that each individual department view its portion of the budget segmented by funding sources, as an in-progress budget balancing at the macro level may not show a deficit balance for one or more funding sources. A fundamental capability of any solution is to be able to toggle easily between detailed line item budgets and consolidated fund-driven views.

Accounting by fund source has distinct differences from a for-profit and a non-profit entity:

<table>
<thead>
<tr>
<th>For Profit</th>
<th>University of Virginia</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Single, consolidated P&amp;L</td>
<td>• Statement of Changes in Net Assets (CINA; P&amp;L equivalent) needs to be understood by funding source</td>
</tr>
</tbody>
</table>
• Owner’s equity is fungible
• The P&L and balance sheet are distinct
• All revenue sources are fungible

• Equity is fragmented, making it critical to understand equity by funding source
• The CINA has balance sheet elements
• Fund restrictions mean that not all money is fungible and must be managed individually

The SOM utilizes the University’s Oracle financial system for its accounting system. The University selected a project centric accounting model when it implemented the Oracle financial system. Projects can be an event or an activity with a single purpose that can cross fiscal years. Projects can track expenditures only or revenue and expenditures. Grants Management is expense focused; all expenditures from purchasing, accounts payables, labor distribution, are posted to a project/task/award combination in detail. Budgeting is done in Grants Management at the project level. The General Ledger contains all Revenue, Asset, Liabilities, and Owners Equity transactions at the detail level, and flow through expenditures from Grants Management at a summary level.

**Health Services Foundation**

HSF maintains several databases within the Epicor Financial system, each having a separate Chart of Accounts (“COA”). Each database represents a specific line of business (ex. Administrative Unit, SOM Clinical Departments, Regional Primary Care (RPC), Virginia Urological Foundation (VUF), etc.). The COA structure is the same for all HSF databases, with the exception of the Clinical Departments database. The structure of the COA for the HSF Clinical Departments database is similar to the Oracle GM PTAEO (project, task, award, expenditure, organization), facilitating data exchange between the two systems. HSF reports on data from these databases in multiple ways. Reports are currently generated either from a specific database or at a consolidated level across all databases. This is made possible by the common segment which represents the natural account. For the most part, natural accounts represent the same expense/revenue/asset/liability across all the databases, but are maintained in each database separately. The segments which collectively represent the account code are all varchar data types, extending 32 characters (though currently all characters are not in use).

HSF Administrative Account Structure (Administrative Unit, RPC, VUF, etc.)
(3 segments, 10 characters)
HSF Clinical Department Account Structure and relationship to Oracle PTAEO
(four segments, 27 characters)

System Reference
This section provides a background on the major systems referenced in the RFP.

Oracle
The University runs the Oracle Financials application as a part of Oracle E-Business Suite. Oracle Financials includes the application and Oracle relational database. The current version is 11.5.10.2 but plans are underway to upgrade to Version 12 within the next two years. Oracle is the system of record for all financial, Human Resource and Payroll transactions. Oracle’s Grants Management (GM) software at the University functions as a subsidiary ledger which houses all of the University’s expenses and relevant budgets. The expenses budgeted to state funds during the SOM / HSF budget process are uploaded into Oracle by department and expense category.

Discoverer is an ad-hoc query and analysis tool developed by Oracle to enable end-users to view data stored in Oracle databases, and to analyze and create reports based on these data. Discoverer is an intuitive tool with a similar look and feel to Microsoft Excel.

Epicor
HSF runs the Epicor Financials and Distribution solution as their financial system of record. This system includes the application and the underlying Microsoft SQL Server 2005 database, currently running on Microsoft Windows Server 2003. The current version of Epicor is 7.4.

Epicor is the system of record for the following HSF data used in the budgeting and financial reporting processes: general ledger, accounts payable, and asset management.
HSF utilizes Advanced Allocations, which is a third party module branded by Epicor, to allocate some revenue and expenses for administrative and clinical financial reporting.

HSF utilizes the Microsoft FRx Report Designer reporting tool for all financial reporting of data from Epicor. The current version is 6.7 with service pack 10, but this software will sunset within the next 3-15 months. HSF seeks to replace the functionality of FRx with the consolidated solution being sought through this RFP.

**GE Centricity Business**

HSF runs the General Electric Centricity Business (GECB) system for handling all clinical billing, invoicing and collections for healthcare providers. The current version is 4.0 but HSF plans to update to version 4.3 in October, 2009. HSF is concurrently researching a possible migration to Epic Systems Corporation Resolute Professional Billing over the next few years.

Most data passing through the GECB transactional system is made available in a Microsoft SQL Server 2005 data warehouse via the Precision.BI interface version 4.2.1008 from Datamasters, Inc. In addition to housing GECB transactional data, Precision.BI is the system of record for Relative Value Units (RVUs), which is a quantitative method of measuring clinical productivity. The consolidated solution is expected to get most relevant data (e.g. clinical billing, invoicing and collections for healthcare providers, RVUs) from this warehouse, but it may interface directly to the transactional system (GECB, or any future transactional system).

**UltiPro**

HSF runs Ultimate Software’s UltiPro version 10 system for handling all HSF payroll and HR functions. UltiPro is currently supplying HSF payroll and full-time equivalent (FTE) data (for administrative staff and subsidiaries only) into the administrative budgeting and financial reporting processes. Plans are underway to upgrade to the Microsoft .Net environment in the summer of 2009. UltiPro is currently running on the Microsoft SQL Server 2005 database platform in a hosted environment.

**SRC**

HSF currently uses SRC Software’s budgeting application Business Objects Professional Edition version 10.83.1221.0 for administrative budgeting. In 2005, Business Objects acquired SRC Software and in 2006 SAP acquired Business Objects; consequently the SRC budgeting application will no longer be supported past 2010. As such, the function of HSF administrative budgeting will be incorporated into the consolidated solution.

**System Context**

Figure two below represents a high-level overview of the system context within which the consolidated budgeting and financial reporting solution will exist. Systems represented outside of the “Budget & Financial Reporting Solution” are systems of record that will exist in the future state architecture and that contain data pertinent to managing the finances of both the SOM and HSF organizations.
Budgeting System & Process Background

Currently all departments and units within HSF and SOM create annual budgets. However, every department, group or unit goes through a different budget process as described below.

Clinical Departments
The annual budget process begins in January of each year when budget systems are loaded with historical data and budget assumptions are generated for the coming year. The University’s Central Budget Office provides assumptions for fringe benefit rates, faculty and staff salary increases, inflation factors, and endowment distribution rates. At that time the SOM Dean’s Office prepares Excel spreadsheets with estimates of state and endowed chair funds and Medical Center funds that will be available to each department for the budgeted year. The state fund, eminent scholar, and endowed chair information is loaded into support tables in the SOM Expense budget Microsoft Access database. This allows for efficient comparison of the information loaded into departmental budgets versus what will be available to each department. Current demographic information and fund sources for all labor are loaded into the SOM Expense budget database. At this time, SOM also provides HSF with historical expenditures at The University by department for all non-HSF fund sources. HSF loads historical information relating to clinical revenues, other operating revenues, and operating and non-operating expenses
into the HSF Budget Microsoft Access database. Departments also run historical expense reports from the Oracle system for their individual use in preparing budgets.

Clinical revenue budgets are calculated individually by departments in the HSF Revenue Projections Microsoft Access database based on budgeted clinical productivity (ie, RVUs), historical collection trends, pay or mix data and expected changes in reimbursement rates as determined by HSF. Departments are required to complete their clinical revenue projections by mid-February.

Each department has an individual Microsoft Access SOM Expense budget database with current labor distribution schedules, faculty demographics and available state and endowed chair funds. Departments are required to budget their salary expenditures for every employee, the clinical portion of their faculty and staff FTEs as well as other than personal services (OTPS) expenditures at an aggregate level by category. Since the SOM Expense budget databases do not have any revenue data and do not provide any expense totals or modeling capabilities, departments use individual offline processes and spreadsheets to assist in their budget development effort. Departments are required to complete their expenditure budgets in the SOM Expense budget database first. After that, SOM Dean’s Office analysts review and verify that the departments have fully budgeted their state funds, have maximized their endowed chair funds and that salaries for all employees are wholly budgeted.

The state funds portion of the budgets are exported from the SOM Expense databases to Oracle. During the fiscal year, state budgets are adjusted on a quarterly basis in Oracle only. No mid-year adjustments are made to the Expense databases. During the budgeting process, expenses and FTEs from the SOM Expense databases are exported to a Microsoft Access Budget database maintained by HSF, where the expenses are combined with clinical revenue from the Revenue Projections database. In the Budget database, departments can budget additional revenues and expenses related to their clinical activities. If a change is needed to a SOM budgeted expense, the adjustment must be made in the SOM Expense database and re-imported to the HSF Budget database. This HSF Budget database also houses information regarding FTEs, clinical productivity (RVUs), and HSF and The University’s fund balances.

Departments are required to complete their current year forecast and subsequent year budget in the Budget database by late April. The forecast and budget are then reviewed by HSF to validate the following: forecast revenues and expenses are reasonable based on current year-to-date actuals; forecast to budget variances are justifiable; clinical productivity and clinical revenue budgets are reasonable based on expected clinical effort; and that The University and non-clinical revenues tie to source data when such data exist, among other things.

SOM Dean’s Office and HSF analysts hold budget review sessions together with each clinical department to review, refine, and finalize the clinical department budgets.

HSF prepares budget reports for review and approval by the HSF Finance Committee and Board of Directors. Once the budgets are approved in mid-May, HSF and the clinical departments jointly work to allocate the annual data over 12 months. The bulk of this allocation work is automated in the HSF Allocations database; then the monthly allocation is exported into Excel.
for manual review, validation, and modification by the clinical departments and HSF. Once the review is complete the allocated budgets are loaded from the Excel file into Epicor. The monthly allocation and subsequent budget load into Epicor are only for revenues and expenses on HSF funding sources; revenues and expenses on the University funding sources are not loaded into Epicor.

**Basic Science Departments, Centers and SOM Dean’s Office**

Similar to the clinical departments, the SOM Dean’s Office provides these departments with an estimate of their state and endowed chair funds.

A major source of funding for Basic Science departments and Centers are research grants and the facility and administration (F&A) funds the research grants generate. The beginning and end dates of research grants are typically not aligned with the beginning and end of a fiscal year. Furthermore, faculty generally allocate their effort among multiple projects that could change with each payroll. Therefore, forecasting “revenues” and calculating salary support on research grants is a time-consuming manual effort for basic science and clinical departments that manage these funds. Basic science departments do not generate clinical revenue and do not receive any Medical Center funds. Similar to clinical departments, each basic science department, center and dean’s office area has an individual Microsoft Access SOM Expense budget database that is pre-populated with current labor distribution schedules and other relevant data from The University’s Oracle system. Departments are required to budget their salary expenditures for every employee, as well as other than personal services (OTPS) expenditures by expense category. These budgets do not include revenue budgets or fund balances. These budgets are not included in the (HSF) Budget database.

After data is entered into the SOM Expense budget database, SOM Dean’s Office analysts review the information and verify that the departments have fully budgeted their state funds, and their endowed chair funds, and that salaries for all employees are wholly budgeted. Then the state funds portion of the budgets are exported from the SOM Expense database to Oracle. During the fiscal year state budgets are adjusted on a quarterly basis in Oracle only. No mid-year changes are made to the Expense database.

**HSF Administrative Units**

SRC is the current system of record for HSF Administrative unit budgets, including VUF, RPC, HSF Real Estate, Legal Collections and Gamma Knife. At the beginning of the annual administrative budget season in February, HSF central accounting loads historical general ledger data from Epicor and payroll data from UltiPro into SRC. Administrative unit budget preparers then enter forecast (current fiscal year) and budgeted (upcoming fiscal year) revenues and expenditures by unit by account code. Budget preparers have the opportunity within SRC to allocate the annual budgets to specific months, by unit by account code. If specific allocations are not entered for any given account, the annual budget amount is straight-lined across the entire fiscal year. After the HSF Administrative units have completed their budgets, the monthly budget detail is exported from SRC and loaded into Epicor. This monthly budget detail is used to create monthly comparative financial statements through FRx.
### Current Budgeting Process Overview for Clinical Departments

#### HSF Historical Clinical Revenue Gathering
Historical clinical revenue data is pulled from Precision and Excel spreadsheets, and entered into the Revenue Projections database for analysis.

**Complexities:**
- Multiple records for individual physicians require manual consolidation.

#### HSF Clinical Revenue Projections
Revenue projections are calculated in the Revenue Projections database based on historical utilization and collection trends and expected future rate increases.

**Complexities:**
- Calculation of revenue projections is complex, with payor mix, historical volumes, contractual rate changes and the timing of those changes diversely impacting revenue projections.
- No historical data exists to support revenue projections of new clinical providers.
- The “ramp up” period to achieve full utilization varies and is not incorporated into revenue calculations.
- Clinical revenue model does not allow for changes in A/R during the period. The model assumes all charges are resolved during the period, and no prior existing A/R is resolved.
- In addition to clinical revenue, this database projects charges, contractual adjustments and other write-offs, and bad debt based on historical trends. There currently is no way to modify expectations for these line items (e.g. bad debt increasing).
- Historical utilization and collection trends are obtained from Historical expense data.

#### SOM Expenditures Budget Creation
Budgets are developed across all expense categories, with strategy and priority applied to fund utilization and expenses budgeted. Employee salaries are the major expense.

**Complexities:**
- Faculty are paid through multiple sources but managed by one SOM department.
- Lack of consolidated SOM budget view inhibits department visibility into external impacts to their budgets.
- Fund Accounting – Expenditures by fund source should match the availability of funds and follow the business rules that govern those funds. However, fund balances are not currently available in the SOM Expense database which requires a manual review.

#### HSF & SOM Budget Consolidation
Oracle rejection of budgets.
- Fund Accounting database is not currently consolidated to reflect complete SOM & HSF budgets. Then manual validation is required to ensure that data import is accurate by running reports from exported systems and manually comparing against financial statements.
- Department-level users key additional budget information directly into HSF Budget database, including the non-clinical revenue, expected incentive payments, use of funds from prior years, and revenue from collection agency.

**Complexities:**
- Data keying to HSF Budget database is labor intensive; automated loads from SOM Expense database cause temporary downtime for users in Budget database.

#### HSF & SOM Budget Export Processes
SOM State budgets are uploaded from SOM Expense database to Oracle at a detail level. HSF budget data is fed to the HSF Allocations database, put into Excel spreadsheets for department review and modification, and then uploaded from spreadsheets to Epicor.

**Complexities:**
- Varied budgeting processes can drive Oracle rejection of budgets.
- HSF and SOM final budgets are sent from different systems, to different systems, so there is no one single source system.
- HSF Allocations database doesn’t have sufficient provider level detail to factor in “ramp up” of new clinical providers starting during the year.
are based on groupings of providers; when a provider is reclassified to a different grouping, all historical data must be recalculated on the fly. If a new grouping is created, no historical data exists.

**HSF Non-Clinical Revenue Projections**
Non-clinical revenue is budgeted based on information from the following data sources (hard and soft copy data/spreadsheets):
- HSF
- Medical Center
- SOM Dean’s Finance Office
- SOM Clinical Affairs Office
- Clinical Departments

**SOM Historical Expense Gathering**
21 Clinical departments, 9 Basic Science departments and 16 Centers access numerous systems and communicate with various groups in order to obtain all data relevant to annual budgeting.

Expense System sources include:
- Oracle
- Medical Center HR
- UltiPro

Expense department data sources (hard and soft copy data/spreadsheets) include:
- HSF
- Departments
- SOM Dean’s Office Finance

**Complexities:**
- There is no automated consolidated view of all expenses. Manual consolidation is labor intensive.

**SOM Expense Projections**
Revenue and funding data is compiled simultaneously with expense data.

Revenue and funding department data sources (hard and soft copy data/spreadsheets) include:
- SOM Dean’s Office Finance (commitment data and eminent scholar & Institutional Funding Plan data)
- Grants – paper copies of the grants’ budgets, current year budgets in Oracle
- Medical Center data, including MOU (Memorandum of Understanding between SOM, HSF, and Medical Center).

**Complexities:**
- There is no automated consolidated view of all funds. Manual consolidation of fund data is labor intensive.
- Labor fiscal years are different periods for HSF and SOM.
- HSF applies different fringe benefit rates to different departments and different parts of salaries. These rates are different from the SOM fringe benefit rates, which are applied to a different base salary than the HSF rates.
- Departments key entire current year forecast for all funding sources (except clinical revenue, which comes directly from the Revenue Projections database) into this database; there is no forecast in SOM Expense database.
- Multiple mapping tables to maintain, including department/Org, account code/name, department name/password, etc.
• There is no allocation capability to enable faculty level budgeting.

• Funds are owned and governed by different central University departments, with unique rule sets.

• Labor distribution can span multiple departments, but budget visibility does not, reconciliation of planned labor to budgets requires a manual process/verbal validation to determine all department expense and revenue sources.

Financial Reporting Background

The Parties seek to replace the current financial reporting processes (described below) with a Consolidated Budgeting, Financial Reporting, and Financial Analytics System. The Consolidated System will incorporate a Financial Reporting System component which must compatibly integrate with the Budget System and the Analytics component.

On a monthly basis the SOM departments run account reconciliation reports using Oracle Discoverer. Many of these reports are predefined. They also run many ad-hoc analytical reports for managing their awards, and as auditing tools. Current system does not allow Dean’s Office to easily analyze and manage financial activity on a school level.

On a monthly basis, HSF imports information from, and exports information to, Oracle (approximately 70,000 transactions per month). The similar account structure between the entities facilitates this data exchange. The shared information that is imported or exported contains only transactions which are funded by HSF. There is an ongoing issue with timing differences between Epicor and Oracle because the University does cash accounting and uses a hard month close on the last day of the month, whereas HSF does accrual accounting and closes books in the following month for the prior month.

HSF provides the standard monthly financial reports to the 21 clinical departments as well as a variety of reports used as planning tools. These reports contain only a subset of the departments’ financial data; they do not currently depict the total financial health of a given department. The reports only contain data that pertains specifically to HSF funds, so State funds, grant funds, and other non-HSF funding sources are not included. Therefore, consolidated reporting is currently accomplished by unique offline systems maintained by many of the 21 individual clinical departments. These “shadow” systems mainly support the consolidation of each of the clinical departments’ own specific data, and the ability to provide individual income statements at a faculty level that include all fund sources.

HSF also provides monthly financial reports to its individual administrative departments and subsidiaries. These reports compare actual revenues and expenses against budgeted revenues.
and expenses, with month over month and year over year comparisons. Budgets for the administrative units are currently prepared on a cash basis but financial statements are prepared on both cash and accrual basis. The source data is pulled from the Epicor databases through the use of Microsoft FRx Report Designer. Most reports for both the clinical and administrative departments are distributed through the web based Microsoft FRx Webport report repository. Monthly, HSF prepares consolidated accrual based financial statements (balance sheet and income statement) that combine the 21 clinical departments, all administrative departments and subsidiary divisions and eliminates any intercompany activity between the units. Eliminations are prepared manually on an external Excel worksheet and imported into FRx through the automated reporting process. Consolidated reporting provides year over year variances. Annually, consolidated financial statements are prepared in accordance with GAAP as the basis for the audited financial statements and tax returns. Additional detail reporting at the component unit is produced to support the audited statements and provide necessary detail for analysis by the external auditors. HSF and SOM currently produces a on a semi-annual basis a Faculty Remuneration Plan (an income statement by faculty).

**Financial Analytics** – Provide the flexibility to generate financial analytic reports on source data across all dimensions of revenue, expense, mission and faculty from the organizational, department and division levels.

**Modeling** – Provide a flexible tool with financial modeling capabilities.

**Funds Management** – Provide an efficient and accurate solution for effectively managing the varied funding sources associated with a higher education, state-funded agency and a non-profit medical group practice.

**Productivity** – Provide the ability to measure clinical and research productivity and compare to national benchmarks

**Consolidated Solution** – Provide a consolidated, internet-enabled interface to access all components of the budgeting, financial reporting and financial analytics solution.
<table>
<thead>
<tr>
<th>Fund Sources</th>
<th>Categories</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>State Funds</strong></td>
<td>SG - State Education &amp; General</td>
<td>This source of funds is derived from tuition, educational and general fees, appropriations and other miscellaneous revenue sources as authorized by the State for collection. For SG, SR, and SE awards, the Budget Office is responsible for monitoring both rates and revenue collection and also administers the allocation of these funds for spending. For SS awards funded from tuition revenues, the Budget Office is responsible for monitoring rates.</td>
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<tr>
<td></td>
<td>SR - State Restricted</td>
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<td></td>
<td>SE - State ETF</td>
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<tr>
<td><strong>F&amp;A</strong></td>
<td>Facilities &amp; Administration</td>
<td>This source of funds is derived from the application of a negotiated indirect cost recovery percentage to grant and contract expenditures. They represent the recovery of the fair share of Facilities and Administrative (F&amp;A) costs of the University in support of sponsored programs activities. The “F” parts of F&amp;A include the costs of the buildings and equipment, utilities, the maintenance of the buildings, and the cost of the University’s libraries. The “A” parts include central administration, school &amp; departmental administration, and the Office of Sponsored Programs. F&amp;A recoveries are distributed to departments and schools based on a formula approved by the academic vice presidents, and administered by Financial Analysis.</td>
</tr>
<tr>
<td><strong>Sponsored Program Funds</strong></td>
<td>G - Sponsored Programs - Grants &amp; Contracts</td>
<td>This source of funds is derived from external sponsors who provide funds to the University in response to a proposal for specific instruction, research, or public service activities. Grants and contracts are the legal documents that define the scope of work, set of objectives, and terms and conditions which provide a basis for accountability and sponsor expectations. Grants and contracts are awarded to the University rather than the individual (principal investigator) who is responsible for the conduct of the project. The Office of Sponsored Programs (OSP) has institutional signatory authority for all contracts and proposals and are responsible for negotiation of all terms and conditions. OSP has the authority to legally bind the institution and is responsible for the financial control of awards received.</td>
</tr>
<tr>
<td><strong>Gifts</strong></td>
<td>DI/EI - Endowments</td>
<td>This source of funds is derived from donor gifts for either current use or endowments. The use of these funds is subject to any restrictions placed by the donor. The University Development Office is responsible for recording and depositing gifts to the University. Investment and Tax Services (ITS) updates gift award installments monthly.</td>
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<tr>
<td></td>
<td>DR/DU - Gifts</td>
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<tr>
<td><strong>Investment Income</strong></td>
<td>ER - Endowments</td>
<td>This source of funds is derived through investment income earnings, both unrestricted (EU, EI, LC, LG) and restricted (ER, EI). The Investment and Tax Services Office (ITS) is responsible for monitoring, collecting, and distributing earnings to University departments. Upon receipt of the earnings distribution notification from ITS, the specific unit can allocate its funds for spending from the specific award (EU, ER). The Budget Office is responsible for administering the allocation of investment earnings for spending through the EI, LC and LG awards.</td>
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<tr>
<td></td>
<td>LC - Local Chair</td>
<td></td>
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<td></td>
<td>LG - Local General</td>
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</tr>
<tr>
<td><strong>Sales &amp; Service</strong></td>
<td>IP - Intellectual Property</td>
<td>This source of funds is derived through the sale of products and/or services to the University community, and sometimes the public at large. It includes auxiliary enterprises (examples include Student Housing, Athletics, Parking) which are self-supporting and that primarily serve faculty, staff, and students. It also includes other (non-auxiliary) services established to support the Instruction or Research efforts, usually at the school or department level. Examples include copy centers and lab testing services. These other services are usually required to set rates that recover only costs (i.e. break even), rather than generate extra revenue or “profit.”</td>
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<tr>
<td></td>
<td>SS/LS - Sales &amp; Service</td>
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<tr>
<td></td>
<td>LA/SA - Auxiliaries</td>
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<td></td>
<td>LO - Local Other</td>
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</tr>
<tr>
<td><strong>Agency</strong></td>
<td>YY - Agency</td>
<td>This source of funds is derived from funds on deposit with the University by outside agencies/organizations that are not a part of the University, but that have a close relationship to the University. The funds are available for spending BY the depositing entity THROUGH the University’s financial systems. Agency and custodial funds (YY awards) may fund University projects. All clinical revenues earned through HSF are considered Agency funds.</td>
</tr>
</tbody>
</table>
Funds Utilization Matrix
The matrix below is a representation of all fund sources utilized by each department or area in the SOM and HSF.

<table>
<thead>
<tr>
<th>HSF &amp; SOM Funds Utilization Matrix</th>
<th>State Funds</th>
<th>F&amp;A</th>
<th>Sponsored Program Funds</th>
<th>Gifts</th>
<th>Investment Income</th>
<th>Sales &amp; Service</th>
<th>Medical Center</th>
<th>Agency Patient Care (HSF)</th>
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<td>Research Centers</td>
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<td>Health Sciences Library</td>
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<tr>
<td>Regional Primary Care</td>
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<tr>
<td>HSF Administration</td>
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</tbody>
</table>
Attachment 6
Appendix List

Click below on each Appendix for more information:

Appendix 1 – Budget and Financial Reporting Requirements (includes instructions and two tabs)

Appendix 2 – Budget and Financial Reporting Technical Requirements (includes instructions and 2 tabs)

Appendix 3 – University Medical Center (UVaMC) Security Requirements and University of Virginia Health System Active Directory/LDAP Integration

Appendix 4 – Pricing Sheet Guide (includes 4 tabs)

Appendix 5 – Overview of the Medical Center