

REQUEST FOR PROPOSAL

RFP NUMBER: CSP905316
INDEX NUMBER: BWC016
UNSPSC CATEGORY: 84111600

The State of Ohio, through the Department of Administrative Services, Office of Procurement Services, on behalf of the Bureau of Workers' Compensation is requesting Proposals for:

Fiduciary Performance Audit

OBJECTIVE: The Ohio Bureau of Workers' Compensation (BWC) is requesting an independent auditing firm ("auditor") to conduct a fiduciary performance audit of the investment program of BWC in accordance with Ohio Revised Code 4121.125(I). BWC expects the audit report to be complete 6 months after engagement.

RFP ISSUED: September 24, 2015
INQUIRY PERIOD BEGINS: September 24, 2015
INQUIRY PERIOD ENDS: October 14, 2015 at 8:00 AM
PROPOSAL DUE DATE: October 21, 2015 by 1:00 PM

Proposals received after the due date and time will not be evaluated.

Submit Sealed Proposals to:

Department of Administrative Services
Office of Procurement Services
Attn: Bid Desk
4200 Surface Road
Columbus, OH 43228-1395

Note: Please review the [Proposal Instructions](#) on our Web site.

The Offeror must submit this cover page (signed) with its Technical Proposal.

Offeror Name and Address: _____ _____ _____ _____ E-Mail Address: _____ Phone Number: () _____ - _____ Ext. _____	Name/Title: _____ _____ Signature: _____ By submitting a response to this RFP, and signing above, Offeror acknowledges, understands and agrees to comply with the RFP requirements and confirms all the instructions and links have been read and understood.
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RFP GLOSSARY OF TERMS

AA:	Affirmative Action
Contractor:	Vendor after Award
CSP:	Competitive Sealed Proposal
DAS:	Department of Administrative Services
EOD:	Equal Opportunity Division
FEI:	Federal Employer Identification
Mandatory:	Must, Will, Shall
OAC:	Ohio Administrative Code
OAKS:	Ohio Administrative Knowledge System (Ohio's Accounting System)
OBG:	Ohio Business Gateway
Offeror:	Vendor Submitting Proposal
OPS:	Office of Procurement Services
ORC:	Ohio Revised Code
RFP:	Request for Proposal
SOS:	Secretary of State
UNSPSC:	The United Nations Standard Products and Services Code
BWC	Bureau of Workers' Compensation
IPS	Statement of Investment Policy and Guidelines

1.0 EXECUTIVE SUMMARY

- 1.1 INTRODUCTION This is a request for Competitive Sealed Proposals (CSP) and is being solicited through this Request for Proposal (RFP) under Section 125.071 of the Ohio Revised Code (ORC) and Section 123:5-1-08 of the Ohio Administrative Code (OAC). The Department of Administrative Services (DAS), Office of Procurement Services (OPS), on behalf of the Bureau of Workers' Compensation (the Agency), is soliciting competitive sealed proposals (Proposals) for a Fiduciary Performance Audit. If a suitable offer is made in response to this RFP, the State of Ohio (State), through DAS, may enter into a contract (the Contract) to have the selected Offeror (the Contractor) perform all or part of the Project (the Work). This RFP provides details on what is required to submit a Proposal for the Work, how the State will evaluate the Proposals, and what will be required of the Contractor in performing the Work.

This RFP gives the dates on page 1 for the various events in the submission process. While these dates are subject to change, prospective Offerors must be prepared to meet them as they currently stand.

- 1.2 CONTRACT PERIOD Once awarded, the term of the Contract will be from the January 4, 2016 through December 31, 2019. The State may solely renew all or part of this Contract at the discretion of DAS for a period of one month and subject to the satisfactory performance of the Contractor and the needs of the Agency. Any other renewals will be by mutual agreement between the Contractor and DAS for any number of times and for any period of time. The cumulative time of all mutual renewals may not exceed 36 months and are subject to and contingent upon the discretionary decision of the Ohio General Assembly to appropriate funds for this Contract in each new biennium.
- 1.3 BACKGROUND Under the mandates of the Ohio Revised Code (ORC), the Ohio Workers' Compensation system is the largest exclusive state insurance fund (SIF) system in the United States, with investment assets of \$24.7 billion as of December 31, 2014 and annual insurance premiums and assessments of approximately \$2 billion. The Ohio workers' compensation system consists of the Bureau of Workers' Compensation, responsible for administrative and insurance functions, and the Industrial Commission of Ohio, responsible for claims adjudicative functions. BWC exercises fiduciary authority with respect to the SIF and related Specialty Funds. These BWC Trust Funds are held for the benefit of the injured workers and employers of Ohio. It is from these Trust Funds that all claims for both medical and compensation for disability benefits are paid with the exception of self-insured claims. Self-insuring employers have been granted the status of self-insurance by having proven ability to meet certain obligations set forth in ORC Section 4123.35. BWC monitors self-insuring employers, who administer their own workers' compensation claims. Presently, BWC processes claims, pays compensation and medical benefits to injured workers and underwrites workers' compensation coverage for employers doing business in Ohio. BWC also offers safety training and accident prevention programs to employers and helps injured employees return to work through rehabilitation programs. The Board of Directors (BOD), as a fiduciary, oversees BWC's activities and functions.

1.4 SCOPE OF WORK

TASK DESCRIPTION. The BWC is requesting an independent auditing firm ("auditor") to conduct a fiduciary performance audit of the investment program of BWC in accordance with Ohio Revised Code 4121.125(I). BWC expects the audit report to be complete 6 months after engagement.

The fiduciary performance audit shall include an audit of the investment policies approved by the BWC Board of Directors ("Board") and of the investment procedures of BWC, including but not limited to:

1.4.1 Governance, Independence and Conflict of Interest

A. Assess the BWC Board of Directors in the following areas:

1. Governance documents for clarity and comprehensiveness, with special focus on delegation and monitoring of authority
2. Policies related to the avoidance of conflicts of interest
3. Board engagement in key meetings, educating themselves on best practices and fiduciary duties, and other attributes of being diligent board members

B. Assess both the Board's and BWC's use of external advisors, the scope of work, qualifications and the advisors' degree of independence, the review should include investment consultants, actuaries, and internal and external auditors

C. Review the internal and independent audit policies and processes employed at BWC. Assess BWC policies related to the avoidance of conflicts of interest for employees in fiduciary roles with the agency

D. Review the governing statutes for clarity, comprehensiveness and adequacy in light of the risk and liabilities faced by the state insurance and specialty funds and the fiduciary obligations to Ohio employers and injured workers

1.4.2 Investment Policies and Procedure for Decision Making

- A. Assess the engagement of the Board and its implementation of its decisions in the following areas:
 - 1. Timeliness and comprehensiveness of the Board meetings
 - 2. Risk assessment and mitigation in the management of BWC assets
 - 3. Benchmarking and ongoing monitoring of fund investment performance and asset allocation
 - 4. Benchmarking and ongoing monitoring of board-contracted consultants
 - 5. Due diligence and process associated with decisions on investment exposures
 - 6. Due diligence and process associated with the selection and retention of external managers selected to invest BWC assets
 - 7. Education on investment issues relevant to the Board's activities
- B. Assess the engagement of key BWC staff in the following areas:
 - 1. Benchmarking and ongoing monitoring of fund investment performance and asset allocation
 - 2. Due diligence and process associated with making recommendations to the Board of Directors
 - 3. Appropriate continuing education/certification maintained by key staff

1.4.3 Investment Strategy and Execution, including performance of the investment program

- A. Review the BWC Statement of Investment Policy and Guidelines (IPS) for clarity and comprehensiveness.
- B. Assess the IPS in the following areas:
 - 1. whether it appropriately addresses the investment exposures in the funds, sets forth sufficient guidelines for investment decisions, and establishes sufficient review and oversight procedures
 - 2. whether the target asset allocations, permissions and restrictions are appropriate for the circumstances of the funds
 - 3. whether it gives due weight to the nature of the liabilities of the funds
 - 4. the Board's and BWC's compliance with/adherence to the IPS
- C. Assess whether the IPS and the applicable statutes contain appropriate limitations on so-called "exotic" investments
- D. Assess whether the state insurance and specialty funds' liabilities are being appropriately measured and monitored
- E. Review BWC's asset allocation to determine:
 - 1. whether BWC's investments are in the appropriate asset class and type
 - 2. whether the allocation is appropriate in light of the of the risk and liabilities faced by the state insurance and specialty funds and the fiduciary obligations to Ohio employers and injured workers
 - 3. whether BWC's investment allocations are in compliance with the guidelines in the IPS
- F. Assess the strengths and weaknesses of the following:
 - 1. BWC investment staff and consultants
 - 2. the BWC custodians
 - 3. the investment performance reporting and monitoring of investment managers
- G. Assess the investment performance of all the funds and their asset managers
- H. Identify any aspect of investment strategy or investment implementation that should concern a fiduciary
- I. Comment on the process for the selection and retention of investment managers:
 - 1. What are the appropriate processes to determine whether to renew a manager or a mandate or to rebid a contract?
 - 2. What are the best practices for renewal vs. re-bidding of manager contracts?

1.4.4 Controls and safeguards

- A. Perform a comprehensive review of BWC's investment controls and safeguards, benchmarking against best practices
- B. Audit how the monies are handled and whether the appropriate controls are in place before money is transferred
- C. Review the performance and proper roles of the custodians, the record keeper, and others involved in the investment process, and assess whether BWC is appropriately monitoring these entities
- D. Assess the monitoring of investment manager compliance with the IPS and contract provisions

- E. Assess whether BWC properly handles fee reconciliation, including whether the fees paid to investment managers are appropriately reviewed and reconciled to BWC's accounting records, and benchmark
- F. Benchmark BWC's investment fees against fees paid to managers in charge of managing similar portfolios
- G. Assess the methods used to verify compliance with the IPS Placement Agent Policy and the other restrictions contained in the IPS and the contracts
- H. Assess BWC's preparedness for responding to a natural, physical or financial disaster

For each category, the audit must address the best practices, whether BWC and the BWC Board of Directors are meeting those practices, and if not identify any recommended actions.

The Fiduciary Performance Audit will be delivered in hardcopy and as a presentation. The presentation date and time will be determined by BWC, after completion of the Fiduciary Performance Audit.

Following completion of the audit, the State may ask the offeror to perform additional work on an hourly basis to follow up on any specific issues identified in the audit or to conduct a subsequent, truncated review to update the audit.

- 1.5 CONFIDENTIAL, PROPRIETARY OR TRADE SECRET INFORMATION DAS procures goods and services through a RFP in a transparent manner and in accordance with the laws of the state of Ohio. All proposals provided to DAS in response to this RFP become records of DAS and as such, will be open to inspection by the public after award unless exempt from disclosure under the Ohio Revised Code or another provision of law. Refer to section 5.1.6 in the Instructions.
- 1.6 REGISTRY OF OFFERORS DAS will prepare a registry of Proposals containing the name and address of each Offeror. The registry will be on the Office of Procurement Services Web site and available for public inspection after the Proposals are received.
- 1.7 PROPOSAL SUBMITTAL Offeror must submit both a "Technical Proposal" and a "Cost Proposal" as a part of its Proposal package. These are two separate components which shall be submitted in separate sealed envelopes/packages, clearly identified on the exterior as either "Technical Proposal" or "Cost Proposal" with CSP905316 and due date on each. Offeror must submit this signed cover page with its technical Proposal. Offeror shall mark the correct CSP number on all envelopes/packages. Refer to section 5.1.6 in the Instructions for further detail.
- 1.8 NUMBER OF PROPOSALS TO SUBMIT Offeror must submit one (1) original, completed and signed in blue ink, and four (4) copies for a total of five (5) Proposal packages.

2.0 EVALUATION OF PROPOSALS

- 2.1 MANDATORY REQUIREMENTS The following table contains items that are Mandatory Requirements for this RFP.

Determining the Offeror's ability to meet the Mandatory Requirements is the first step of the DAS evaluation process. The Offeror's response must be clearly labeled "Mandatory Requirements" and collectively contained in Tab 2 of the Offeror's Proposal in the "Offeror Required Information and Certification" section.

DAS will evaluate Tab 2 alone to determine whether the Proposal meets all Mandatory Requirements (accept/reject). If the information contained in Tab 2 does not clearly meet every Mandatory Requirement, the Proposal may be disqualified by DAS from further consideration.

TABLE 1 - MANDATORY PROPOSAL REQUIREMENTS

Mandatory Requirements
1. The offeror must be a certified public accounting firm or a certified public accountant, and;
2. The offeror must identify an audit manager for the audit that is a certified public accountant.

If the State receives no Proposals meeting all of the mandatory requirements, the State may elect to cancel this RFP.

2.2 **PROPOSAL EVALUATION CRITERIA** If the Offeror provides sufficient information to DAS in its Proposal, demonstrating it meets the Mandatory Requirements, the Offeror's Proposal will be included in the next step of the evaluation process which involves the scoring of the Proposal Technical Requirements (Table 3), followed by the scoring of the Cost Proposals. In the Proposal evaluation step, DAS rates the Proposals based on the following listed criteria and the weight assigned to each criterion. The possible points allowed in this RFP are distributed as indicated in the Table 2 - Scoring Breakdown.

2.3 **TABLE 2 - SCORING BREAKDOWN**

Criteria	Maximum Allowable Points
Proposal Technical Requirements	240 Points
Proposal Cost	80 Points
Total	320 Points

2.4 **SCORE RATINGS** The scale below (0-5) will be used to rate each proposal on the criteria listed in the Technical Proposal Evaluation table.

DOES NOT MEET 0 POINTS	WEAK 1 POINT	WEAK TO MEETS 2 POINTS	MEETS 3 POINTS	MEETS TO STRONG 4 POINTS	STRONG 5 POINTS
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DAS will score the Proposals by multiplying the score received in each category by its assigned weight and adding all categories together for the Offeror's Total Technical Score in Table 3. Representative numerical values are defined as follows:

DOES NOT MEET (0 pts.): Response does not comply substantially with requirements or is not provided.

WEAK (1 pt.): Response was poor related to meeting the objectives.

WEAK TO MEETS (2 pts.): Response indicates the objectives will not be completely met or at a level that will be below average.

MEETS (3 pts.): Response generally meets the objectives (or expectations).

MEETS TO STRONG (4 pts.): Response indicates the objectives will be exceeded.

STRONG (5 pts.): Response significantly exceeds objectives (or expectations) in ways that provide tangible benefits or meets objectives (or expectations) and contains at least one enhancing feature that provides significant benefits.

2.5 TABLE 3 - TECHNICAL PROPOSAL EVALUATION

Criterion	Weight	Rating (0 to 5)	Extended Score
Offeror Profile (Form 5.2.3)			
The Offeror shall demonstrate the knowledge and experience in accounting for and/or auditing investment programs and has conducted audits on investors and investor funds of similar size and scope.	8		
Offeror Prior Projects (Form 5.2.4)			
The Offeror shall include a minimum of 3 references for organizations and/or clients for whom the Offeror has successfully completed audits of investment programs of similar scope and size. The references must relate to work that was completed in the previous 5 years.	5		
Staffing Plan (Forms 5.2.5 and 5.2.6)			
1. The Offer shall demonstrate that the Audit Manager has the educational background and experience necessary to successfully complete the audit. Experience should include review of audit policies, addressing conflicts of interest, review of asset allocation, review of asset managers, and review of the sufficiency of controls and safeguards.	10		
2. The Offeror shall demonstrate that the audit team is sufficient in size to meet the timeframes in this RFP and has the educational background and experience necessary to complete the audit. The team must be listed in order of their importance to the Audit.	10		
Scope of Work			
1. The Offeror shall demonstrate in its Work Plan its ability to complete the following Project requirements: <ul style="list-style-type: none"> a. The assessment of the BWC Board of Directors' governance documents and policies, as well as the internal and independent audit policies and processes employed at BWC. b. The assessment of the Board's and BWC's use of external advisors, the scope of work, qualifications and the advisors' degree of independence. c. The assessment of the engagement of Board members and staff. d. The assessment of the IPS. e. The assessment of asset allocation. f. The assessment of controls and safeguards in the investment process. 	10		
2. The Offeror shall provide a proposed Audit Timeline for conducting the audit and completing the deliverables.	5		

Total Technical Score: _____

2.6 PRESENTATIONS AND INTERVIEWS DAS may require top Offerors to be interviewed. Such interviews will provide an Offeror with an opportunity to present its Proposal and to ensure a mutual understanding of the Proposal's content. This will also allow DAS and the Agency an opportunity to test or probe the professionalism, qualifications, skills, and work knowledge of the proposed candidates. The interviews will be scheduled at the convenience and discretion of DAS and the Agency. DAS or the Agency may record any presentations and interviews. The one (1) to three (3) highest scoring Offerors; but no more than the top three (3) may be required to participate. Interviews will be scheduled to be held in Columbus, Ohio at the vendor's expense, if applicable.

In this RFP, DAS asks for responses and submissions from Offerors, most of which represent components of the above criteria. While each criterion represents only a part of the total basis for a decision to award the Contract to an Offeror, a failure by an Offeror to make a required submission or meet a mandatory requirement will normally result in a rejection of that Offeror's Proposal. The value assigned above to each criterion is only a value used to determine which Proposal is the most advantageous to the State in relation to the other Proposals that DAS received.

Once the technical merits of a Proposal are evaluated, the costs of that Proposal will be considered. It is within DAS' discretion to wait to factor in a Proposal's cost until after the conclusion of any interviews, presentations, demonstrations or discussions. Also, before evaluating the technical merits of the Proposals, DAS may do an initial review of costs to determine if any Proposals should be rejected because of excessive cost. DAS may reconsider the excessiveness of any Proposal's cost at any time in the evaluation process.

- 2.7 COST PROPOSAL POINTS DAS will use the information the Offeror submits on the Cost Summary Form to calculate Cost Proposal Points. DAS will calculate the Offeror's Cost Proposal points after the Offeror's total technical points are determined, using the following method:

Cost points = (lowest Offeror's cost/Offeror's cost) x Maximum Allowable Cost Points as indicated in the "Scoring Breakdown" table. "Cost" = (total cost) identified in the Cost Summary section of Offeror's Proposal. In this method, the lowest cost proposed will receive the maximum allowable points.

The number of points assigned to the cost evaluation will be prorated, with the lowest accepted Cost Proposal given the maximum number of points possible for this criterion. Other acceptable Cost Proposals will be scored as the ratio of the lowest Cost Proposal to the Proposal being scored, multiplied by the maximum number of points possible for this criterion.

An example for calculating cost points, where Maximum Allowable Cost Points Value = 60 points, is the scenario where Offeror X has proposed a cost of \$100.00. Offeror Y has proposed a cost of \$110.00 and Offeror Z has proposed a cost of \$120.00. Offeror X, having the lowest cost, would get the maximum 60 cost points. Offeror Y's cost points would be calculated as \$100.00 (Offeror X's cost) divided by \$110.00 (Offeror Y's cost) equals 0.909 times 60 maximum points, or a total of 54.5 points. Offeror Z's cost points would be calculated as \$100.00 (Offeror X's cost) divided by \$120.00 (Offeror Z's cost) equals 0.833 times 60 maximum points, or a total of 50 points.

Cost Score: _____

- 2.8 FINAL STAGES OF EVALUATION The Offeror with the highest point total from all phases of the evaluation (Technical Points + Cost Points) will be recommended for the next phase of the evaluation.

Technical Score: _____ + Cost Score: _____ = Total Score: _____

If DAS finds that one or more Proposals should be given further consideration, DAS may select one or more of the highest-ranking Proposals to move to the next phase. DAS may alternatively choose to bypass any or all subsequent phases and make an award based solely on the Proposal evaluation phase.

- 2.9 REJECTION OF PROPOSALS DAS may reject any Proposal that is not in the required format, does not address all the requirements of this RFP, or that DAS believes is excessive in price or otherwise not in the interest of the State to consider or to accept. In addition, DAS may cancel this RFP, reject all the Proposals, and seek to do the Work through a new RFP or by other means.

3.0 COST SUMMARY

3.1 **SUBMISSION** The Cost Summary shall be submitted with the Proposal (under separate cover labeled as the Cost Proposal). All prices, costs, and conditions outlined in the Proposal shall remain fixed and valid for acceptance for 120 days, starting on the due date for Proposals. No price change shall be effective without prior written consent from DAS, Office of Procurement Services.

The Offeror's total cost for the entire Work must be represented as the total cost). All costs for furnishing the services must be included in the Cost Proposal.

3.2 **THE OFFEROR'S FEE STRUCTURE** The Contractor will be paid as proposed on the Cost Summary after the Agency approves the receipt of product(s)/services and continued completion of all deliverables. All costs must be in U.S. Dollars.

3.3 **REIMBURSABLE EXPENSES** None; there will be no additional reimbursement for travel or other related expenses. The State will not be responsible for any costs not identified.

3.4 **BILL TO ADDRESS**
Agency Bill to BWC-OSS-205 Voucher Proc.
P.O. Box 182880
Columbus, OH 43218-2880

Fiduciary Performance Audit
CSP905316
UNSPSC CATEGORY CODE: 84111600
BUDGET: The budget is not available.

OFFEROR: _____

Description	Cost
Audit Report	\$
Hourly Rate for additional work completed after the delivery of the Fiduciary Performance Audit.	\$

All Offerors who seek to be considered for a contract award must submit the above information in the format specified. The Original Cost Summary must be included in a separate, sealed envelope/package labeled on the exterior as "Cost Proposal" with the RFP Number and due date.

4.0 AWARD OF THE CONTRACT

- 4.1 CONTRACT AWARD DAS intends to award the Contract based on the schedule in the RFP, if DAS decides the Work is in the best interests of the State and has not changed the award date.

DAS expects the Contractor to commence the Work upon receipt of a state issued purchase order. If DAS awards a Contract pursuant to this RFP and the Contractor is unable or unwilling to commence the Work, DAS reserves the right to cancel the Contract and return to the original RFP process and evaluate any remaining Offeror's Proposals reasonably susceptible of being selected for award of the Contract. The evaluation process will resume with the next highest ranking, viable Proposal.

- 4.2 CONTRACT If this RFP results in a Contract award, the Contract will consist of this RFP including the Terms and Conditions, all forms, written addenda to this RFP, the Contractor's accepted Proposal and written authorized addenda to the Contractor's Proposal. It will also include any materials incorporated by reference in the above documents and any purchase orders and amendments issued under the Contract. The general terms and conditions for the Contract are contained in the following link:

<https://procure.ohio.gov/Zip/5.3%20Terms%20and%20Conditions.pdf>

If there are conflicting provisions between the documents that make up the Contract, the order of precedence for the documents is as follows:

1. The one-page Contract Signature Page, Form 5.2.2
2. The RFP, as addended, including the Terms and Conditions;
3. The documents and materials incorporated by reference in the RFP;
4. The Executive Order. EO2011-12K incorporated by reference in the RFP;
5. The Contractor's Proposal, as amended, clarified, and accepted by the State; and
6. The documents and materials incorporated by reference in the Contractor's Proposal.

Notwithstanding the order listed above, amendments issued after the Contract is executed may expressly change the provisions of the Contract. If they do so expressly, then the most recent amendment will take precedence over anything else that is part of the Contract.

- 4.3 ECONOMIC PRICE ADJUSTMENT The Contract prices(s) will remain firm throughout the initial term of the Contract. Thereafter, prior to Contract renewal, the Contractor may submit a request to adjust their price(s) to be effective on the effective date of the Contract's renewal. No price adjustment will be permitted prior to the effective date; on purchase orders that are already being processed; or on purchase orders that have been filled.

Price increases must be supported by a general price increase in the cost of the materials/services rendered due to documented increases in the cost of related materials/services. Detailed documentation, to include a comparison list of the Contract items and proposed price adjustments must be submitted to support the requested adjustment. Supportive documentation should include, but is not limited to: copies of the old and the current price lists or similar documents which indicate the original base cost of the product to the Contractor and the corresponding adjustment, and/or copies of correspondence sent by the Contractor's supplier on the supplier's letterhead, which contain the above price information and explains the source of the adjusted costs in such areas as raw materials, freight, fuel or labor, etc.

Should there be a decrease in the cost of the finished product due to a general decline in the market or some other factor, the Contractor is responsible to notify DAS immediately. The price decrease adjustment will be incorporated into the Contract and will be effective on all purchase orders issued after the effective date of the decrease. If the price decrease is a temporary decrease, such should be noted on the invoice. In the event that the temporary decrease is revoked, the Contract pricing will be returned to the pricing in effect prior to the temporary decrease. Failure to comply with this provision will be considered as a default and will be subject to the Suspension and Termination section contained herein.

5.0 LINKS To be applicable to all Proposals and subsequent award(s), including sections named below.

5.1 Instructions

- 5.1.1 Proposal Instructions
- 5.1.2 Inquiries
- 5.1.3 Protests
- 5.1.4 Addenda to the RFP
- 5.1.5 Proposal Submittal
- 5.1.6 Confidential, Proprietary or Trade Secret Information
- 5.1.7 Waiver of Defects
- 5.1.8 Multiple or Alternate Proposals
- 5.1.9 Addenda to Proposals
- 5.1.10 Proposal Format
- 5.1.11 Evaluation of Proposals
- 5.1.12 Proposal Format and Documentation Required

5.2 Forms

- 5.2.1 Offeror Required Information
- 5.2.2 Contract Signature Page
- 5.2.3 Offeror Profile
- 5.2.4 Offeror Prior Projects
- 5.2.5 Offeror's Candidate References
- 5.2.6 Offeror's Candidate Education, Training, Experience
- 5.2.7 Offeror Performance Form
- 5.2.8 Contractor/Subcontractor Affirmation and Disclosure

5.3 Terms and Conditions

- 5.3.1 Performance and Payment
- 5.3.2 Work and Contract Administration
- 5.3.3 Ownership & Handling of Intellectual Property & Confidential Information
- 5.3.4 Representations, Warranties and Liabilities
- 5.3.5 Acceptance and Maintenance
- 5.3.6 Construction
- 5.3.7 Law & Courts

5.4 ADDITIONAL RESOURCES

EOD Reporting	http://eodreporting.oit.ohio.gov/searchEODReporting.aspx
Office of Budget and Management	http://www.obm.ohio.gov/
Office of Procurement Services	http://procure.ohio.gov/proc/index.asp
Ohio Shared Services	http://www.ohiosharedservices.ohio.gov/Home.aspx
Ohio Business Gateway	http://business.ohio.gov/
Ohio Secretary of State	http://www.sos.state.oh.us/SOS/Businesses.aspx

All links are subject to change in accordance with state of Ohio laws, Ohio Revised Code, Ohio Administrative Code, Executive Orders or any other updates issued by the state of Ohio, Department of Administrative Services, and the Office of Procurement Services. It is the Offeror's responsibility to read and be aware of any changes, corrections, updates or deletions to any information included in the link(s) above.

- 6.0 Guide for Proposal Submission This guide outlines steps for submission of a Proposal in response to the advertised Request for Proposal. This guide does not contain the complete instructions for preparing and submitting a Proposal and anything stated herein shall not be considered a term or condition of the Contract. The complete instructions can be found in section 5.1.1, Proposal Instructions.
- 6.1 _____ Read the entire document, including all Web site links. Note critical items such as: Mandatory Requirements; goods or services required, submittal date and time; number of copies to submit; contract requirements; reporting requirements; minimum qualifications; read and understand the terms and conditions.
- 6.2 _____ Take advantage of the “question and answer” period specified in the schedule of events. Questions must be submitted on-line in the Inquiry Process as explained in the Instructions. See section 5.1.1, Proposal Instructions.
- 6.3 _____ Follow the format required in the RFP Instructions when preparing the response in chronological order. Provide point-by-point responses to all sections in a clear and concise manner. See section 5.1.3, Proposal Format & Documentation Required.
- 6.4 _____ Use the forms provided; i.e. Signed RFP Cover Page, Offeror Required Information, Contract Signature Page, Offeror Profile and Prior Projects, Key Personnel forms, Disclosure Form, and Cost Summary Form, See section 5.2, Forms.
- 6.5 _____ Provide complete answers/descriptions. Do not assume the State or any evaluation committee member will know what the Offeror’s capabilities are or what items/services the Offeror can provide, even if previously contracted with the State. The Proposals are evaluated based solely on the information and materials provided in the Offeror’s response.
- 6.6 _____ Check the State’s Web site for RFP addenda. It is the responsibility of the Offeror to be aware of additional information posted on the Web.
- 6.7 _____ The following documents may be submitted with the Proposal or within five (5) business days of request from the Office of Procurement Services: Affirmative Action and proof of insurance. No award will be made without this documentation. Offeror’s Proposal may be eliminated from further consideration upon failure to submit within the specified time frame
- 6.8 _____ If not a current vendor of the state of Ohio, the Offeror will download both the W-9 and Vendor Information Form and submit to Ohio Shared Services (OSS) at vendor@ohio.gov. See section 5.4, Additional Resources.
- 6.9 _____ Review and read the RFP Document again to make sure that you have addressed all requirements. Read and understand Supplements, if applicable. Offeror’s original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and used to score the response.
- 6.10 _____ Offeror’s response must be submitted on time. Late Proposals are never accepted. Make sure the response is labeled on the exterior of the envelope/package with the RFP# and due date, and whether the packet is for the Technical Proposal or the Cost Proposal. Do not place the Cost Proposal in the Technical Proposal.