Office of the Illinois State Treasurer
Michael W. Frerichs

Request for Proposals
Grants Management Software & Services
370-800-17-003

Addendum 1
August 23, 2016

The Request for Proposals Grants Management Software & Services (370-800-17-003) ("RFP")
published by the Office of the Illinois State Treasurer ("Treasurer") on August 3, 2016 is hereby
amended as follows:

1.  Section IV.A of the RFP is hereby amended as follows:

    **A. Schedule**

    The following is the schedule for this RFP:

    | Date | Event |
    |---|---|
    | August 3, 2016 | RFP published on the Treasurer's website. |
    | August 9, 2016 | Notice of intent to participate in the Optional Bidder's Teleconference due by 12 p.m. CT. |
    | August 12, 2016 | Optional Bidder's Teleconference at 11:00 a.m. CT. |
    | August 16, 2016 | All Respondent questions due by 12:00 p.m. CT. |
    | August 23, 2016 | Responses to all questions posted on the Treasurer's website by 4:00 pm CT. |
    | September **2**, 2016 | Responses to RFP due at 12:00 p.m. CT. |
    | Week of **September 6**, 2016 | Selection of finalists. |
    | September **13**, 2016 | If applicable, best and final offer due by 12:00 p.m. CT. |
    | Week of September **19**, 2016 | Notice of award and begin negotiation of Agreement. |

    These dates are subject to change at the Treasurer's discretion.

**Below are the questions received by Treasurer and the Treasurer's responses. Any capitalized terms that are not defined herein have the meaning set forth in the RFP.**

1. In Section I. Overview, it is stated that the initial term is for 2 years. In Section VII. Contractual Terms, it is stated that the initial term shall be 4 years. How long is the initial contract term?

> The Agreement shall have a four (4) year term, unless terminated in accordance with the terms of the Agreement. In addition, the Agreement may be extended for additional periods, not to exceed a total term of ten (10) years, including the initial four (4) years.

2. Besides the Treasurer's website, what software packages does the Treasurer anticipate integration with?

> The Treasurer may integrate the System with SharePoint in the future.

3. The Treasurer has requested resumes for analytical investment and research staff to be included on the service team. Please clarify the work that would be done, as outlined in the RFP, by those individuals.

> The individuals shall provide the services set forth in Section III of the RFP ("Services").

4. Can you please provide the Treasurer's number of unique sub-recipient organizations?

> The Treasurer has not issued any grants at this time.

5. Can you please provide the Treasurer's average annual grant revenue?

> The Treasurer's average annual grant revenue is $437,000. This figure is a reflection of the total amount in the Charitable Trust Stabilization Fund ("Fund"), divided by the number of years the Fund has been in existence.

6. Have you had any assistance in preparing this RFP? If so, from whom?

> The Treasurer has not received any assistance in preparing this RFP.

7. Has a budget been approved for this project? If so, for how much?

> The Treasurer does not have a budget for the Services at this time.

8. Does the Treasurer have preference regarding a Saas vs. non-Saas solution?

The Treasurer not have a preference regarding a Saas vs. non-Saas solution.

9.  Please provide a sample application and a sample agreement.

    Please see Attachment 1 for a sample application. It has currently not been finalized and approved by the Committee. A sample agreement is not available at this time.

10. It was mentioned on the bidder's call that there were not any federal post-award reporting requirements. Does the Treasurer want to track financial/programmatic performance of the recipients within the system after the award has been granted?

    The System must track awards for the lifecycle of the grant, including post-award reporting obligations.

11. Can the Treasurer provide the vendor/system names of any existing grants management systems in use at the Treasurer?

    The Treasurer is not using any grants management system at this time.

12. Has the Treasurer previously entertained any system demonstrations and/or presentations from vendors? If so, which systems were seen and when?

    Before the Treasurer had an active procurement for grants management software and services, the following firms provided the Treasurer demonstrations: REI Systems, Wizehive, and Common Grant Application.

13. Did the Treasurer utilize any vendor / SME consultants in defining the sought after functionality and/or scope of work enumerated in the RFP?

    No, the Treasurer did not utilize any vendor/SME consultants in defining Section III or any other section of the RFP.

14. Given the changing grants regulatory environment, does the Treasurer prefer vendors who have experience deploying Grants Management Systems at the Federal level?

    Federal experience with grants management systems is not necessary.

15. Can you provide the annual dollar amount of grant funding you receive for the current fiscal year?

    Please see the answer provided for question 5.

16. What volume of these grants are pass-through grants to sub-grantees?

> The Treasurer is not a pass through of the grant funds.

17. What is your estimate of the number individuals/companies that will need access to the new system for application submission and any other functions that require external user access annually?

> The Treasurer estimates that as many as 200 not-for-profit corporations will need access to the System.

18. How many "internal" users will require system access on day one, and on day 365?

> The Contractor shall provide the Treasurer a maximum of 10 internal user logins.

19. Can you provide an estimate of the volume of data to be converted and migrated into the new Grants Management System?

> No data will need to be converted and migrated into the System, because the Treasurer does not have any existing grant management system.

20. What is the current format of this grant data?

> Please see the answer provided for question 11.

21. Will the import/export of data into the Grants Management System be achieved via a data loading type capability for xls/csv files or through API/web services? If the later, can the Treasurer provide details on the type and underlying technology of any external agency accounting systems in use today?

> Please see the answer provided to question 19.

22. What does the Treasurer currently use as the financial management system?

> Please see the answer provided to question 11.

23. Can you provide the current names of the systems/modules that are implemented? Also can you provide the expectation for the type of integration required, e.g., web services, file based, one way or bi-directional data flow?

> Please see the answer provided to question 11. The System shall be integrated to the Treasurer's website, located at www.illinoistreasurer.gov, via a hyperlink.

24. What does the state currently use as a contract management system?

> Currently, the Treasurer does not have a contract management system. However, it intends to develop one internally using SharePoint.

25. Can you provide the vendor/system software name?

> Please see the answer provided to question 24.

26. How many separate grant programs does the Treasurer manage?

> Currently, the Treasurer only manages the Charitable Trust program.

27. Do the business processes (application, pre-award, award, etc.) and associated forms vary with each type of program or are all processes and forms standardized?

> There is only one program, the Charitable Trust Stabilization Program, so there is only one set of processes and forms.

28. Does the Treasurer require any cloud-based, SaaS solutions to be provisioned on a FISMA moderate infrastructure?

> No, the Treasurer does not require any cloud-based, SaaS solutions to be provisioned on a FISMA moderate infrastructure.

29. Does the Treasurer require its Grants Management System to be updated annually free of charge to keep pace with changing federal legislation?

> Software should be updated on a regular basis to ensure security.

30. Can you provide an example of your average form and the total number of forms currently used?

> See Attachment 1 for a sample application. It has currently not been finalized and approved by the Committee. There are no other forms available at this time.

31. Can you share your current:
    a. application form and award templates

> Please see the answer provided for question 30.

    b. application review process and templates

Grant applications will be reviewed by the Treasurer and the members of the Committee. Please see Section II.D of the RFP for additional details.

32. Do you have a single step review process, if not can you elaborate on your review process?

Please see the answer provided for question 31.b.

33. Do you require any post-award functionality? If so please explain further.

Please see the answer provided for question 10.

# OFFICE OF ILLINOIS STATE TREASURER

## MICHAEL W. FRERICHS

## Charitable Trust Grant Application

**Organization Name:**
**Address:**
**City:**
**State:**
**Zip:**

**Telephone:**
**Fax:**
**Website:**

**Executive Director or Chief Executive Officer:**
**Telephone:**
**E-Mail:**

**Main Contact:**
**Title:**
**Telephone:**
**E-Mail:**

**Date of Incorporation:**
**FEIN:**

### A.  Special Attention to Certain Applicants

When considering applicants for a grant award, the Charitable Trust Committee shall give special attention to Applicants that have an annual operating budget of less than $1 million and are located in a depressed area as defined under the Illinois Enterprise Zone Act.

(More information about Illinois Enterprise Zones and Maps of Illinois Enterprise Zones can be found at http://www.illinois.gov/dceo/ExpandRelocate/Incentives/taxassistance/Pages/EnterpriseZone.aspx)

Is your non-profit organization located in an Illinois Enterprise Zone? If yes, which Zone?
   1)  What is your total organization's budget for the year in which a grant is requested?

**B. Grant Eligibility Criteria**
   **Your Organization must meet ALL of the following criteria to be eligible for a grant award**


1) Is your Organization a not-for-profit corporation that is exempt from federal income taxation under Section 501(c)(3) of the federal Internal Revenue Code?

2) Is your Organization organized under the General Not for Profit Corporation Act of 1986 for the purpose of providing charitable services to the community?

3) Does your Organization comply with the provisions of the Charitable Trust Act?

4) Is your Organization domiciled in the State of Illinois, and does it provide charitable services exclusively in the State of Illinois?

5) Does your Organization have the equivalent of at least one full-time paid employee?

6) Has your Organization adopted a policy of non-discrimination on the basis of race, gender, sexual orientation, age, national origin, disability, family status, or religion?  Please attach the policy.

7) List of any other grants the applicant has received in the past two years, including, without limitation, federal, state, local or private grants.


**C. Purpose of Grant**

1) What is the mission/purpose of your not-for-profit organization?

2) In one paragraph, please describe what this grant will help your organization accomplish. Please provide any plans, equipment lists or other documents that show the type or structure of the proposed program for which you intend to use the requested grant funds.

3) Please state the amount of your grant request. A charitable trust grant award from the Treasurer's Office cannot exceed $25,000 per calendar year.

4) What are your cost estimates of developing, constructing, operating or completing the program, project, or use for which the grant is being requested? Please also include your proposed budget.

5) Please list the municipalities or counties that services will be provided by this particular grant funding. (If located in Chicago or Cook County, please list zip codes.)

6) How will the grant funded project operate and what will it accomplish? Please provide at a minimum a 1-2 page response on this detailing the project.

### D. Additional Background

**Please provide a 2-4 paragraph response for each of the following questions:**

1) What is the need for the grant and what challenge or problem does the grant seek to address?

2) Who is the target population for the grant?

3) What is the specific objective of the grant?

4) How many individuals will this grant serve?

5) What do you hope to be the result of this grant funding?

6) How will you evaluate your program's success?

7) Please summarize current grants and programs in your organization.

### E. Supporting Documentation

Please provide all of the following supporting documentation listed below. The Charitable Trust Committee and the Illinois State Treasurer's Office may request any additional information deemed necessary. The Illinois State Treasurer's Office may also require a site visit to the applicant's program site.

- The applicant's current IRS determination letter or, if pending, Form 1023-EZ, 1023 or 1024.
- Most recent Form 990 or 990-N filed by the applicant with the IRS, including Schedule A, or an explanation of why none has been filed.
- The following forms of, and statements required by, the Illinois Attorney General (see 14 Ill. Adm. Code 400):
  - Illinois Charitable Organization Registration Statement (Form CO-1).
  - If the applicant has been in existence less than one year, Form CO-2.
  - If the applicant has been in existence more than one year, AG990-IL, with all required attachments, proof of payment of fees and signatures, for each of the most recent three years of existence.
  - A financial statement in the form required by 14 Ill. Adm. Code 400.60.
  - Form IFC (for each fundraising campaign, if a professional fundraiser was used).
- Any and all contracts with professional fundraisers.
- Articles of Incorporation and all amendments and all current by-laws.
- A complete list of all officers, directors and/or trustees including names, titles, professional affiliations, addresses, daytime phone numbers and e-mail addresses.
- Organization's annual budget.

- Organization's programs budget.
- Most recent and complete audited financial statements.

**Application Certification**

By signing this application, I certify that the statements contained herein are true, complete and accurate to the best of my knowledge. I also agree that if requested, I will provide any required assurances and any other documentation should a grant award be offered. I understand that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil or administrative penalties under any applicable federal or state laws and regulations. I understand that my failure to sign this application and this certification as below will render my application incomplete and ineligible.

Applicant Signature: _____ Title: _____

Name (Printed): _____ Date: _____