

# REQUEST FOR PROPOSALS ("RFP")

## Microsoft Dynamics AX Public Sector 2012 Upgrade Implementation and Training

Submit Response To:

Attn: Deirdre Johnson  
RFP Number 92700-14-000001  
State Road and Tollway Authority  
47 Trinity Avenue  
4<sup>th</sup> Floor  
Atlanta, GA 30334

All spaces below are to be filled in and this sheet must be incorporated within as the first page of the response to this Request for Proposals (RFP).

Firm Name: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_ Facsimile: \_\_\_\_\_

E-mail: \_\_\_\_\_

By my signature below, I certify that I am authorized to sign this proposal for the firm named above. I further certify that this proposal is made without prior understanding, agreement, or connection with any other company or person submitting a separate proposal for the same services, and is in all respects fair and without collusion or fraud. I further certify that the provisions of OCGA §§45-10-20 et seq. have not been violated and will not be violated in any respect. This offer shall remain open for acceptance for 90 days from the Amended Proposal Due Date. On behalf of the firm named above, I further certify that such firm has and will abide by all conditions set forth in this RFP.

Signature \_\_\_\_\_

Name and Title \_\_\_\_\_

Date \_\_\_\_\_

Refer ALL Inquiries to:

**Deirdre Johnson**  
**SRTA Issuing Officer**  
[procurement@georgiatolls.com](mailto:procurement@georgiatolls.com)  
**Only email inquiries accepted**



## Table of Contents

<b>1</b>	<b>Introduction .....</b>	<b>1</b>
1.1.	SRTA Overview .....	1
1.2.	ERP Business Case Analysis .....	2
1.3.	Purpose and Objectives .....	3
1.4.	RFP Certification .....	4
1.5.	Overview of the RFP Process .....	4
1.6.	Schedule of Events .....	4
1.7.	Official Issuing Officer .....	5
1.8.	Contract Term .....	5
<b>2</b>	<b>Instructions to Offerors .....</b>	<b>5</b>
2.1.	General Information and Instructions .....	5
2.1.1.	Restrictions on Communicating with Staff .....	5
2.1.2.	Contract Questions, Clarifications and Recommendations .....	6
2.1.3.	Overview of the RFP Process .....	6
2.1.4.	State’s Right to Request Additional Information – Offeror’s Responsibility .....	7
2.1.5.	Failing to Comply with Submission Instructions .....	7
2.1.6.	Rejection of Proposals; State’s Right to Waive Immaterial Deviation .....	7
2.1.7.	State’s Right to Amend and/or Cancel the RFP .....	7
2.1.8.	Protest Procedures .....	7
2.1.9.	Costs for Preparing Proposals .....	7
2.1.10.	ADA Guidelines .....	8
2.1.11.	Public Access to Procurement Records .....	8
2.1.12.	Confidential/Proprietary Information .....	8
2.1.13.	Registered Lobbyists .....	9
2.2.	Submittal Instructions .....	9
2.2.1.	Preparing a Response .....	9
2.2.2.	Packaging the Response .....	9
2.2.3.	“Hard Copy” and Electronic Copies Required .....	12
2.2.4.	Electronic Copies .....	13



2.2.5.	Submitting the Response .....	13
2.3.	Proposal Evaluation and Award .....	13
2.3.1.	Administrative/Preliminary Review .....	13
2.3.2.	Evaluation Committee Review Criteria .....	14
2.3.3.	Oral Interviews .....	14
2.3.4.	Public Award Announcement .....	14
2.4.	Company Structure .....	15
2.5.	Small and/or Minority Business .....	15
2.6.	Sales and Use Tax .....	15
2.7.	Mandatory Minimum Qualifications .....	15
2.8.	Proposal Withdrawal and/or Revision Following Submission .....	16
2.9.	Conflict of Interest .....	16
2.10.	Offeror Responsibility .....	16
2.11.	Contract Terms and Conditions .....	17
2.12.	Execution of the Contract .....	17
<b>3.</b>	<b>Scope and Business Requirements .....</b>	<b>17</b>
3.1	Functionality Required .....	17
3.2	Maintenance Requirements .....	19
3.3	Deliverables .....	19
<b>4.</b>	<b>Required Approach .....</b>	<b>20</b>
4.1	Project Overview .....	20
4.1.1.	Phase 1 – Plan & Design: .....	20
4.1.2.	Phase 2 – Build, Test & Deploy: .....	21
4.1.3.	Phase 3 – Support & Maintain .....	21
4.1.4.	Project Governance .....	21
4.1.5.	Level of SRTA Staff Support .....	23
4.2	Change Management Plan .....	23
4.2.1.	Governance and Change Agents .....	23
4.2.2.	Employee/End-User Impact .....	24



4.2.3.	Change Management Training and Communication .....	25
4.2.4.	Change Management Throughout the Project Life Cycle .....	26
4.3	End-User Training Plan .....	27
4.3.1.	Goals and Objectives .....	27
4.3.2.	Training Team .....	28
4.3.3.	Standardized Transactional Training .....	28
4.3.4.	Virtual End-User Training Course Development .....	29
4.3.5.	Examinations .....	31
4.3.6.	Training Management Throughout the Project Life Cycle .....	31
4.4	Quality Assurance Plan .....	31
4.4.1.	Migration Strategy .....	31
4.4.2.	Development Standards .....	31
4.4.3.	Senior Quality Assurance Advisor .....	32
<b>Appendix A - SRTA Organization Chart .....</b>		<b>33</b>
<b>Appendix B - Technical Environment .....</b>		<b>34</b>
<b>Appendix C - SRTA Chart of Accounts .....</b>		<b>35</b>
<b>Appendix D - Question and Answer Form .....</b>		<b>36</b>
<b>Appendix E - Sales and Use Tax Form .....</b>		<b>37</b>
<b>Appendix F - Responsibility Form .....</b>		<b>38</b>
<b>Appendix G - Contractor and Subcontractor Affidavits .....</b>		<b>39</b>
<b>Appendix H - Contract .....</b>		<b>40</b>
<b>Appendix I - Cost Proposal and Payment Schedule .....</b>		<b>41</b>

## 1 Introduction

### 1.1. SRTA Overview

The State Road and Tollway Authority (SRTA) is a state-level, independent Authority created by the Georgia General Assembly to operate tolled transportation facilities within the State and act as the transportation financing arm for the State. Currently SRTA manages two toll facilities, GA 400 and the I-85 Express Lanes, for motorists that choose to use them. The GA 400 facility has all-electronic toll lanes as well as cash toll collections. The all-electronic toll lanes on GA 400 and the I-85 Express Lanes require motorists to register and mount their Peach Pass transponder in their vehicle before using the roadway. The Peach Pass transponder electronically deducts the proper toll amount from the customer's account.

The Peach Pass transponder will also be used on future toll projects in Georgia. Below is a listing of SRTA's current tolling projects:

- **GA 400 Improvement Projects.** Toll revenues are being used to fund transportation improvement projects along the Georgia 400 corridor.
- **GA 400 Toll Plaza Demolition Project.** In mid-November 2013 tolls on GA 400 will cease and the GA 400 Toll Plaza will be demolished. The GA 400 Toll Plaza Demolition Project includes demolishing the Toll plaza canopy and toll booths, sealing up the tunnel and restoring the pavement section to match the three lanes that are currently in place before and after the toll plaza. The building will remain to be repurposed by the Georgia Department of Transportation (GDOT).
- **I-85 Express Lane Extension Project.** The I-85 Express Lane Extension project will include newly constructed express lanes. The project, approximately 10 miles in length and located entirely within Gwinnett County, would begin north of the existing high occupancy toll lanes on I-85 at Old Peachtree Road and would end at Hamilton Mill Road. South of I-985, the project proposes to add the new capacity lanes along I-85 outside of the existing eight-lane mainline. North of I-985, the new capacity lanes would be constructed on the inside shoulder along the four-lane section of I-85.
- **I-75 Northwest Corridor (NWC) Managed Lanes Project.** The 29.7-mile NWC Managed Lanes Project will involve the addition of reversible Express Lanes along I-75 and I-575 in Cobb and Cherokee Counties. The Project will include two lanes on the outside of the existing General Purpose Lanes along I-75, between I-285 and I-575. The two reversible tolled Express Lanes will consist of a mix of roadway at-grade, on walls, and elevated highway. In addition, one reversible tolled Express Lane will be added along I-75 between I-575 and Hickory Grove Road, as well as along I-575 to Sixes Road. These lanes will be at-grade and located in the median along the inside of the existing General Purpose lanes. Access to the Express Lanes will be provided by Express Lanes interchanges on I-75 and slip ramps on I-575. Reversible ramps providing connection to and from I-285 general purpose lanes are also part of the proposed improvements.
- **I-75 South Managed Lanes Project.** The I-75 South Managed Lanes Project will include reversible barrier-separated Express lanes along southbound I-75 and I-675 in Henry and Clayton Counties. The Project's Express Lanes system will begin at the I-75 Bridge over SR



155/McDonough Road and will consist of one reversible Express lane. Approximately 1-mile south of Mt. Carmel Road, the reversible Express Lane will transition from one to two reversible Express Lanes. Two reversible Express Lanes continue along I-75, ending just south of the I-75 southbound ramp from SR 138/Stockbridge Highway. From the I-75/I-675 Interchange, the Express Lanes continue along I-675 and end at SR 138/Stockbridge Highway. The Express lanes will be variably/dynamically tolled.

Pursuant to section 32-10-90 and 32-10-90.1 of the Authority Act, SRTA has the ability to issue and manage Revenue and Grant Anticipation Revenue Vehicle (GARVEE) bonds for the purpose of funding transportation projects for the State of Georgia. The Authority has issued bonds for transportation projects which have been constructed and owned by GDOT. After the bonds are issued, SRTA coordinates with GDOT and the bond trustee to ensure: (1) the timely spend-down of bond proceeds; (2) motor fuel and federal revenues are collected and remitted to the trustee to meet debt service payments; and, (3) other bond management responsibilities are met.

In addition, SRTA manages the Georgia Transportation Infrastructure Bank (GTIB). In April 2008, House Bill 1019 was signed into law establishing the GTIB within SRTA. The GTIB is a revolving infrastructure investment fund which operates similar to a bank. SRTA is responsible for administering loans and grants to eligible state, regional, and local government entities to fund eligible projects for specific programs related to transportation.

SRTA conducted a business case analysis to upgrade its current Enterprise Resource Planning (ERP) system, Microsoft Dynamics Great Plains (GP) v10.0. The business case analysis included an assessment of the current ERP environment and functionality, identification of required functionality, and an assessment of ERP solution options. As of June 2013, SRTA has 68 employees among 17 functional budget units. SRTA anticipates each employee to be a user of the ERP system. Please refer to Appendix A for a SRTA organizational chart. SRTA's chart of accounts consists of five programs, combinations of 110 funds, 17 business units, and 498 natural accounts (translating to approximately 4100 general ledger accounts). Please refer to Appendix C for the chart of accounts.

## **1.2. ERP Business Case Analysis**

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SRTA implemented GP in 2006. Over time, SRTA's operational roles and responsibilities have increased and expanded to include items such as additional transportation projects, the simultaneous operation of multiple toll facilities, the GTIB loan and grant program, and the expansion of the GARVEE program. When the current Microsoft Dynamics (GP) configuration was initially implemented, SRTA did not hold the responsibilities of administering loans and grants through the GTIB. As a result, the initial implementation did not contain the complete Microsoft Dynamics GP module set that would provide some, but not all of the functionality required to administer grants and loans through the ERP system. In addition to the new responsibilities created with GTIB, SRTA incurred additional growth and workload through three recently approved projects: the I-85 Express Lanes Extension, the I-75 Northwest Corridor and I-75S Express Lanes. SRTA's expanded responsibilities created gaps between SRTA's current business needs and the existing SRTA GP configuration environment. Due to SRTA's increased responsibilities, SRTA needs to



maintain an ERP system that easily tracks multiple projects and fund sources. SRTA's current ERP configuration environment does not support public sector complexities and functionalities such as accounting for projects across multiple funding sources.

Due to functionality lacking in its current ERP environment, SRTA staff have increasingly developed shadow systems (Excel spreadsheets) to perform financial and accounting functions resulting in time-consuming and duplicative manual processes that decrease productivity within the organization. These workaround alternatives address immediate needs, but create increasingly disparate data repositories that ultimately decrease reporting capabilities, create opportunities for errors during duplicate manual data entry, and decrease productivity. Limited automation reduces access to real-time data that could be used to make real-time enterprise-wide decisions on operations or strategic initiatives. As a result, the ability to generate financial or operational reports is often dependent on a few select accounting or IT staff within SRTA resulting in the loss of resources that would otherwise be spent focusing on other work.

Based on the business case analysis results, SRTA selected Microsoft Dynamics AX 2012 (AX) for its solution. For the purposes of this RFP, the only solution SRTA will consider is AX 2012. SRTA will not consider AX beta versions. AX is a Tier 2 ERP solution currently in version 2012 and includes a layer that is specifically designed for the public sector. The functions available in the public sector layer offer organizations the capabilities to help address regulatory requirements of public sector organizations including adaptability to legislative mandates, support of transparency and open government, and improvement of constituent services and accountability. The 2012 release took into consideration specific needs of the public sector including specific functions such as project management, grant management, tracking of multiple fund sources for projects, contract management, and public sector accounting reporting. Many of these functions used to require the support of an implementer in order to setup, but now are natively embedded in the software.

### **1.3. Purpose and Objectives**

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As a result of this procurement, SRTA intends to select a qualified Systems Integrator (SI) to successfully implement Microsoft Dynamics AX 2012. SRTA's primary objectives for this procurement are to:

- Replace the current Great Plains ERP system and Excel-based shadow systems with Microsoft Dynamics AX 2012
- Develop a configured AX platform that will meet SRTA business requirements
- Migrate current SRTA business processes to fit the functionality of AX

Given these objectives, it is anticipated that low customization of AX will be required for this implementation. SRTA will drive the modification of business processes, but will rely on the SI to assist SRTA staff to understand AX functionality and how processes need to change to fit AX functionality. While SRTA will be responsible for the software acquisition, SRTA requests that Offerors identify software costs associated with recommended modules as part of its proposed approach. Estimated software cost is for informational purposes only and will not be considered as part of the evaluation for this RFP. SRTA requires a Go-Live date of March 31, 2014 for the AX implementation.



## 1.4. RFP Certification

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SRTA certifies that the use of competitive sealed bidding will not be practicable or advantageous to the State of Georgia in completing this acquisition; therefore, an RFP is being used.

## 1.5. Overview of the RFP Process

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The objective of the RFP is to select a contractor to provide the services outlined in this RFP. This RFP process will be conducted to gather and evaluate responses from Offerors for potential award. Offerors are invited to participate by submitting responses, as further defined below. After evaluating all proposals received prior to the closing date and time of this RFP, the preliminary results of the RFP process will be publicly announced, including the names of all participating Offerors and the evaluation results. Subject to the protest process, final Contract award(s) will be publicly announced thereafter.

## 1.6. Schedule of Events

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The schedule of events set out herein represents SRTA's best estimate of the schedule that will be followed. However, delays to the procurement process may occur which may necessitate adjustments to the proposed schedule. If a component of this schedule, such as the close date, is delayed, the rest of the schedule may be shifted as appropriate and at SRTA's discretion. Any changes to the dates up to the closing date of the RFP will be communicated to Offerors prior to the closing date of this RFP. After the close of the RFP, SRTA reserves the right to adjust the remainder of the proposed dates, including the dates for evaluation, award and the Contract term on an as needed basis with or without notice.

Event	Date	Time
RFP Issued	July 1, 2013	N/A
Deadline for submitting written questions regarding the RFP and Contract	July 10, 2013	5:00 PM
Deadline for Responses to Written Questions	July 15, 2013	5:00 PM
Proposals Due/Close Date and Time	July 31, 2013	1:00 PM
Oral Presentations	August 20, 2013 through August 23, 2013	August 20 <sup>th</sup> – 1:00PM-5:00 PM August 21 <sup>st</sup> - 23 <sup>rd</sup> (Times TBD)
Notice of Intent to Award [NOIA] (on or about)	September 5, 2013	5:00 PM
Notice of Award [NOA] (on or about)	10 calendar days after NOIA	N/A



## 1.7. Official Issuing Officer

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Deirdre Johnson

[procurement@georgiatolls.com](mailto:procurement@georgiatolls.com)

## 1.8. Contract Term

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The initial term of the Contract, Appendix H, is from the effective date through June 30, 2020. SRTA shall have five (5) renewal options of up to one (1) year each for the Maintenance services, which options shall be exercisable at the sole discretion of SRTA. Renewal will be accomplished through the issuance of a Contract Amendment. In the event that the Contract, if any, resulting from the award of this RFP shall terminate or be likely to terminate prior to the making of an award for a new Contract for the identified products and/or services, SRTA may, with the written consent of the awarded contractor, extend the Contract for such period of time as may be necessary to permit SRTA's continued supply of the identified products and/or services. Additional renewals for maintenance purposes only can be issued. Unless this RFP explicitly states otherwise, the resulting award of the Contract does not guarantee volume or a commitment of funds.

# 2 Instructions to Offerors

By submitting a response to the RFP, the Offeror is acknowledging that the Offeror:

- Has read the information and instructions
- Agrees to comply with the information and instructions contained herein

## 2.1. General Information and Instructions

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### 2.1.1. Restrictions on Communicating with Staff

From the issue date of this RFP until the final award is announced, Offerors are not allowed to communicate for any reason with any SRTA staff except through the Issuing Officer named herein, or during the Offerors' conference (if any), or as defined in this RFP or as provided by existing work agreement(s). Prohibited communication includes all contact or interaction, including but not limited to telephonic communications, e-mails, faxes, letters, or personal meetings, such as lunch, entertainment, or otherwise. SRTA reserves the right to reject the Proposal of any Offeror violating this provision.



### **2.1.2. Contract Questions, Clarifications and Recommendations**

All costs associated with complying with the requirements of the final Contract should be included in any pricing quoted by the Offerors.

Please review SRTA's attached Contract terms and conditions (Appendix H) and submit any and all questions, clarifications and recommendations to the Issuing Officer by the deadline date/time specified in Section 1.6. Exceptions should be submitted in Microsoft Word and each exception should be numbered in numeric sequence and in the following format:

- Contract Provision, Section Number, Title and current wording
- Reason for Exception, citing law and/or business reasons
- Proposed Language

Requests that materially change the terms or the requirements of the RFP as determined by SRTA, in its sole discretion, will be rejected. Requests that grant the Offeror an impermissible competitive advantage, as determined by SRTA, in its sole discretion, will be rejected. Requests will only be considered if submitted prior to the deadline for submitting written questions as defined by the Schedule of Events. The final Contract, containing any acceptable and agreed-upon requests, will be posted by the deadline specified in Section 1.6 Schedule of Events. All requests will be taken into consideration by SRTA; however, the final Contract that is posted will contain the final Contract terms and conditions that are acceptable to SRTA.

### **2.1.3. Overview of the RFP Process**

**Written Questions and Answers Period.** Only written questions will be accepted. Questions and answers will not be binding upon the State unless incorporated by amendment to this RFP. All Offerors must submit questions by the deadline identified in Section 1.6 Schedule of Events for submitting questions. All questions about this RFP must be submitted using the Question and Answer form (Appendix D).

Answers to questions will only be provided to the Offeror who is the source of the question. If SRTA determines the answer to any particular question to be material to the content of this RFP, then SRTA will amend this RFP for the benefit of all Offerors.

**Proposal Submission.** Proposals shall be packaged and submitted in accordance with Section 2.2 Submittal Instructions. Offerors shall submit Proposals no later than the day and time indicated in Section 1.6 Schedule of Events.

**Proposal Evaluation.** Proposals will be evaluated in accordance with Section 2.3 Proposal Evaluation and Award.

**Proposal Award.** The Contract will be awarded based on Section 2.3 Proposal Evaluation and Award.



#### **2.1.4. State's Right to Request Additional Information – Offeror's Responsibility**

Prior to award, SRTA must be assured that the selected Offeror has all of the resources to successfully perform under the Contract. This includes, but is not limited to, adequate number of personnel with required skills, availability of appropriate equipment in sufficient quantity to meet the ongoing needs of SRTA, financial resources sufficient to complete performance under the Contract, and relevant experience in similar endeavors. If such information is required, the Offeror will be so notified and will submit the information requested within the time requested by SRTA.

#### **2.1.5. Failing to Comply with Submission Instructions**

Proposals received after the identified due date and time or submitted by any other means than those expressly permitted by the RFP will not be considered. Offerors' responses must be complete in all respects, as required in each section of this RFP.

#### **2.1.6. Rejection of Proposals; State's Right to Waive Immaterial Deviation**

SRTA reserves the right to reject any or all responses, to waive any irregularity or informality in an Offeror's Proposal, and to accept or reject any item or combination of items, when to do so would be to the advantage of the State of Georgia. It is also within the right of SRTA to reject responses that do not contain all elements and information requested in this RFP.

#### **2.1.7. State's Right to Amend and/or Cancel the RFP**

SRTA reserves the right to amend this RFP prior to the Proposal due date and time. Amendments to the RFP will be made in writing and communicated to Offerors. EACH OFFEROR IS INDIVIDUALLY RESPONSIBLE FOR REVIEWING AMENDMENTS AND ANY OTHER POSTED DOCUMENTS AND MAKING ANY NECESSARY OR APPROPRIATE CHANGES AND/OR ADDITIONS TO THE OFFEROR'S RESPONSE. Finally, SRTA reserves the right to cancel this RFP at any time.

#### **2.1.8. Protest Procedures**

Offerors should familiarize themselves with the procedures set forth on SRTA's web site, which is accessible online as follows:

<http://www.georgiatolls.com/business/>

#### **2.1.9. Costs for Preparing Proposals**

Each Offeror's Proposal should be prepared simply and economically, avoiding the use of elaborate promotional materials beyond those sufficient to provide a complete Proposal. The cost for developing the



Proposal and participating in the procurement process (including the protest process) is the sole responsibility of the Offeror. SRTA will not provide reimbursement for any costs for preparing proposals.

#### **2.1.10. ADA Guidelines**

The State Road and Tollway Authority adheres to the guidelines set forth in the Americans with Disabilities Act (ADA). Offerors should contact the Issuing Officer at least one day in advance if they require special arrangements when attending the Oral Presentations/Offerors' Conference (if any). The Georgia Relay Center at 1-800-255-0056 (TDD Only) or 1-800-255-0135 (Voice) will relay messages, in strict confidence, for the speech and hearing impaired.

#### **2.1.11. Public Access to Procurement Records**

Proposals will be made available for public inspection, upon request, after SRTA's posting of the Notice of Intent to Award (or the Notice of Award in the event SRTA does not issue the Notice of Intent to Award). Audited financial statements not otherwise publicly available but required to be submitted as part of the Offeror's Proposal shall not be subject to public disclosure unless otherwise required by law. PLEASE NOTE: Even though information (financial or other information) submitted by an Offeror may be marked as "confidential", "proprietary", etc., the State will make its own determination regarding what information may or may not be withheld from disclosure as set forth in Georgia's Open Records Act, O.C.G.A. §50-18-70 et seq. ("Open Records Act").

#### **2.1.12. Confidential/Proprietary Information**

Offerors shall state with specificity those elements of its Proposal that it considers confidential and/or proprietary. The Offeror submitting records containing trade secrets that wishes to keep such records confidential shall submit and attach to the records an affidavit affirmatively declaring that specific information in the records constitute trade secrets pursuant to Article 27 of Chapter 1 of Title 10. Notwithstanding the foregoing, Offerors are hereby given notice that any and all materials submitted in response to this RFP are subject to the provisions of Georgia's Open Records Act upon completion of the RFP process. SRTA's receipt, review, evaluation or any other act or omission concerning any such information shall not be considered to create an acceptance of any obligation or duty for SRTA to prevent the disclosure of any such information except as required by the Open Records Act. Offerors that decide to submit information they believe should be exempt from disclosure under the Open Records Act shall: (i) clearly mark each page containing such information as confidential, proprietary or exempt, (ii) shall include such information in a different color from the rest of the proposal text and (iii) shall state the legal basis for the exemption with supporting citations to the Georgia Code.

Pursuant to Georgia Law, if the information is requested under the Open Records Act, SRTA shall make a final determination if any exemption actually exists for SRTA to deny the request and prevent disclosure. SRTA will withhold such information from public disclosure under the Open Records Act only if SRTA determines, in its sole discretion, that there is a legal basis to do so.

All material submitted regarding the RFP becomes the property of SRTA.



Any activity pursuant to this RFP by any Offeror is governed by all applicable laws including, without limitation, State and Federal antitrust laws.

### **2.1.13. Registered Lobbyists**

By submitting a response to this RFP, the Offeror hereby certifies that the Offeror and its lobbyists are in compliance with the Lobbyist Registration Requirements in accordance with the Georgia Government Transparency and Campaign Finance Commission.

## **2.2. Submittal Instructions**

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Listed below are key action items related to this RFP. The Schedule of Events in Section 1.6 identifies the dates and time for these key action items. This portion of the RFP provides instructions regarding the process for reviewing the RFP, preparing a Proposal to the RFP and submitting a Proposal to the RFP.

### **2.2.1. Preparing a Response**

When preparing a response, the Offeror must comply with the following:

1. Use the nomenclature and follow the format instructions provided
2. Complete the Technical Proposal, addressing the Scope and Business Requirements included in Section 3
3. Do not use less than a 12 point font for the Technical Proposal
4. Do not exceed 30 pages for the Technical Proposal
5. Complete Cost Proposal
6. Proofread your Proposal and make sure it is accurate and readily understandable
7. Label any and all files using the corresponding Section numbers of the RFP so that SRTA can easily organize and navigate the Offeror's Proposal

### **2.2.2. Packaging the Response**

The Offeror's RFP proposal response must be divided into two (2) appropriately labeled and sealed packages: a Technical Proposal and a Cost Proposal.

The contents of each package will include:

1. Technical Proposal (maximum of 30 pages, not including title pages, table of contents, cover letter and appendices/attachments)
  - A. **Signed Certificate of Non-Collusion** (excluded from page count): Cover page of this RFP.
  - B. **Executive Summary** (maximum of two pages): The Offeror shall demonstrate its understanding of SRTA and SRTA's project objectives. The Offeror shall summarize the key elements of its proposal response, including any factors that differentiate the Offeror's organization from its competitors. The Offeror shall present an overview of its capabilities and the methods it proposes

to use to accomplish the tasks in the Scope of Work, and identify any significant difficulties it anticipates and provide its plan for resolution.

- C. **Company Overview and Qualifications** (maximum of five pages): The Offeror shall provide background and financial information on its organization, including: years of operation, type of organization (corporation, LLP, LLC, etc.), organizational structure, number of employees, summary-level financial information demonstrating financial stability (including any significant litigation or pending litigation that could impact financial stability), and web site references (if applicable). The Offeror shall describe how the organization meets the minimum organizational requirements outlined in Section 2.7. The Offeror shall describe its organizational experience implementing Microsoft Dynamics ERP solutions at public sector organizations (preferably AX 2012). The Offeror shall describe its organizational experience implementing Microsoft Dynamics ERP solutions at organizations with less than 100 employees/users (preferably AX 2012). The Offeror shall identify clients similar to SRTA and that are relevant to this project. The Offeror shall identify any subcontractors and/or independent contractors planned to be used on this project.
- D. **Project Team Experience and Qualifications** (maximum of nine pages): The Offeror shall identify the project team proposed to fulfill the requirements of this RFP. The Offeror shall describe how the project team members meet the minimum Key Staff requirements outlined in Section 2.7. The Offeror shall include an organizational chart of the project team that illustrates the roles of the team members and reporting hierarchies. Please describe how this project team has worked together on similar projects in the past. Following the organizational chart, the Offeror shall describe the role of each team member including their work/duties/responsibilities. This section should detail the experience of the proposed Project Manager and highlight the experience of the proposed key personnel, including education, management and technical experience, and professional development, including specific skills and ability in pertinent disciplines (i.e. project management, financial systems, financial control, and support services). Each Offeror shall identify three professional references for their proposed Project Manager. The Offeror shall include detailed resumes as an attachment, which will not count towards the nine page maximum. The Offeror shall identify team members staffed using a subcontractor and/or independent contractor.

SRTA has defined the following positions as Key Staff: Project Manager, Senior Quality Assurance Advisor, and Functional Leads (leading the implementation effort of specific modules). The Offeror will not replace Key Staff without the prior written consent of the SRTA Project Sponsor or Team Lead. For each Key Staff team member proposed, the Offeror shall identify the team member's time commitment to this project (measured in percentage of work day, not to exceed 100 percent). Additionally, the Offeror shall identify the available start date and any other current or future obligations for Key Staff.

- E. **Work Plan and Approach** (maximum of 13 pages): The Offeror shall identify and describe its proposed work plan, approach, and methodologies to fulfilling the scope requirements of this RFP. Specifically, the Offeror shall identify AX products/modules to fulfill SRTA's functionality requirements. SRTA requests that the Offeror align/map the AX products/modules to SRTA's functionality requirements to demonstrate scope fulfillment. The Offeror shall identify a resource-

loaded proposed project plan (may be included as an attachment) demonstrating the time frame the Offeror plans to achieve the project scope and the March 31, 2014 Go-Live date. The Offeror shall fully describe its proposed approach to: Project Management, Software Implementation, Software Installation and Configuration, Performance Testing, Reporting, Data Conversion, Acceptance Testing, Risk Management, Change Management, Quality Assurance, End-User Training, Post Go-Live Support, SRTA Participation, and Maintenance Support. The Offeror may include examples or samples of tools and templates as attachments, such as a training manual; documentation for AX modules such as General Ledger, Purchasing, etc.; sample implementation plan for a similar project; testing plan; functional test script; and user acceptance test script. The Offeror shall identify specific deliverables relevant to each milestone. The Offeror shall identify any assumptions made in preparing its work plan and approach.

- F. **References** (maximum of one page): The Offeror shall include at least three and no more than five references for completed ERP implementations similar to the project being requested by SRTA. SRTA prefers references of smaller organizations (less than 100 employees/users and preferably public sector) that contracted with the Offeror to implement Microsoft Dynamics ERP solutions (preferably AX 2012). The Offeror shall provide the following information for each reference: client organization name, project name, client contact name, client contact phone number, client contact e-mail, description of project, project fees, and project start/end dates. The Offeror may also identify an alternate client contact. The Offeror should also identify which proposed project team members worked on each listed reference.
- G. **Signed Appendix E** (excluded from page count): Sales and Use Tax Form.
- H. **Signed Appendix F** (excluded from page count): Statement of Responsibility Certification Form.
- I. **Signed Appendix G-1** (excluded from page count): Contractor Affidavit under O.C.G.A. § 13-10-91(b)(1).
- J. **Signed Appendix G-2** (excluded from page count): Subcontractor Affidavit under O.C.G.A. § 13-10-91(b)(3).
- K. **Signed Appendix G-3** (excluded from page count): Sub-subcontractor Affidavit under O.C.G.A. § 13-10-91(b)(4).
- L. **Appendix H** (excluded from page count): Contract.

DO NOT INCLUDE ANY COST INFORMATION IN YOUR TECHNICAL RESPONSE.

- 2. **Cost Proposal:** The Offeror shall submit its Cost Proposal on a time-and-material with a “not-to-exceed” basis, meaning SRTA will compensate the Offeror on the basis of hours and expenses incurred up to a ceiling amount. If there is a residual amount at the end of the project, SRTA will retain the difference by simply not expending the funds. In contrast, if the implementation cost ceiling is exceeded, the Offeror is expected to finish the work with rights to receive no additional compensation. The Offeror is



to provide all work effort needed to meet the detailed functional requirements as part of their proposal. All prices shall be firm for the duration of the project. Estimates, including expenses, are not acceptable.

Offeror shall identify positions, labor rates, and hours on the form provided in Appendix I. The identified hourly labor rates will be used by SRTA and Offeror to price change orders (if any). The Offeror shall provide any underlying assumptions as part of the Cost Proposal. Offerors shall propose "not-to-exceed" amounts for the following cost elements at a minimum:

- Phase 1: Plan & Design Services
- Phase 2: Build, Test & Deploy Services:
  - System Installation
  - Software Configuration and Testing
  - Training
  - Conversion and Cutover
  - Other (please specify tasks)
- Phase 3: Support & Maintain Services
  - Post Go-Live Support
  - One Year Warranty Period
  - Five-year Maintenance Agreement

Offerors shall complete the Cost Proposal shown in **Appendix I – Cost Proposal and Payment Schedule**. Provide this completed form in addition to the requested information in the preceding paragraphs. The Offeror shall also note the proposed Payment Schedule for Professional Services during the design and implementation of the project.

At this time, SRTA's IT department anticipates hosting the AX solution. However, SRTA is interested in exploring a vendor or cloud-based hosted solution. The Offeror shall propose an annual fixed cost to host the AX solution on SRTA's behalf. In the vendor hosted solution, the Offeror shall be responsible for all software maintenance and upgrades.

### **2.2.3. "Hard Copy" and Electronic Copies Required**

Offeror must provide the following number of copies:

1. Technical Proposal:
  - Six (6) hard copies, with one (1) marked "Original" with original signatures
  - One (1) CD-ROM copy
2. Cost Proposal:
  - Three (3) hard copies, with one (1) marked "Original"
  - One (1) CD-ROM copy of the SRTA provided Excel Worksheet (Appendix I)

Technical Proposal and Cost Proposal CDs **must be labeled and packaged separately**. In the event of a discrepancy/conflict between a hard copy and a CD version, the Original hardcopy version will govern.



#### **2.2.4. Electronic Copies**

1. Use caution in creating electronic files to be included on a CD. If SRTA is unable to open an electronic file due to a virus or because the file has become corrupted, the Offeror's response may be considered incomplete and disqualified from further consideration.
2. Use commonly accepted software programs to create electronic files. SRTA has the capability of viewing documents submitted in the following format: Microsoft Word, Microsoft Excel and portable document format file (PDF). Unless the RFP specifically requests the use of another type of software or file format than those listed above, please contact the Issuing Officer prior to utilizing another type of software and/or file format. In the event SRTA is unable to open an electronic file because SRTA does not have ready access to the software utilized by the Offeror, the Offeror's response may be considered incomplete and disqualified from further consideration.

#### **2.2.5. Submitting the Response**

Mark the outside of shipping package as follows:

Name of Company  
Point of Contact for Company and Phone Number  
RFP# 92700-14-000001

**The Offeror's complete response must be received on or before the due date and time at the following location:**

Deirdre Johnson, Issuing Officer  
47 Trinity Avenue, 4th Floor  
Atlanta, Georgia 30334-9006

**All proposals will be time stamped by SRTA upon receipt. Proposals received after the due date and time will not be evaluated.**

### **2.3. Proposal Evaluation and Award**

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All timely proposals will be evaluated in accordance with the following steps. The objective of the evaluation process is to identify the proposal which represents the best value to SRTA based on a combination of technical, interview and cost factors. Based on the results of the initial evaluation, SRTA may or may not elect to negotiate technical and/or cost factors as further described in the RFP. Once the evaluation process has been completed (and any negotiations SRTA desires to conduct have occurred), the apparent successful Offeror will be required to execute the Contract. SRTA will announce the results of the RFP as described further in 2.3.4 "Public Award Announcement".

#### **2.3.1. Administrative/Preliminary Review**

First, the proposals will be reviewed by the Issuing Officer to determine the proposal's compliance with the following requirements:

1. Proposal was received by deadline
2. Proposal is complete and contains all required documents
3. Technical Proposal does not include any pricing from the Cost Proposal
4. Minimum qualifications are met

If the Offeror's proposal passes the Administrative/Preliminary Review, the Offeror's response will be submitted to the Evaluation Team for evaluation.

### **2.3.2. Evaluation Committee Review Criteria**

SRTA will establish an evaluation committee to evaluate and score each Offeror's response based on the following:

- Technical (80 points)
  - Company Overview and Qualifications (10 points)
  - Project Team Experience and Qualifications (25 points)
  - Work Plan and Approach (30 points)
  - References (15 points)
- Oral Interview (10 points)
- Cost Proposal (40 points): The lowest responsive and responsible Cost Proposal will receive the maximum of 40 points. The other Cost Proposals will receive scores based on the following formula:  $\text{Low Price/Subject Price} \times 40 = \text{Score}$ .

Total Maximum Points equals 130 points.

### **2.3.3. Oral Interviews**

The three (3) firms with the highest point total after technical evaluation will be shortlisted and requested to sit for an interview with the Evaluation Committee. The interview will last approximately 120 minutes, including approximately 30 to 45 minutes for the Offeror to present its work plan and approach. Shortlisted firms who fail to participate in the interview will be considered nonresponsive and eliminated from further consideration by the Evaluation Committee. During the interview, the Evaluation Committee will ask questions that will assist the committee in evaluating the technical capability of the Offeror and key staff to provide the desired services. Only Key Staff and Offeror team members assigned to this project should be present at the oral interviews. Interviews are tentatively scheduled for August 20<sup>th</sup> through August 23<sup>rd</sup>, 2013, at SRTA's offices. SRTA encourages Key Staff to be present at the interviews.

### **2.3.4. Public Award Announcement**

The preliminary results of the evaluation will be announced through the public posting of a Notice of Intent to Award to the SRTA web site and/or to the Georgia Procurement Registry. The Notice of Intent to Award ("NOIA") is not notice of an actual Contract award; instead, the NOIA is notice of SRTA's expected Contract award(s) pending resolution of the protest process. The NOIA (if any) will identify the apparent successful



Offeror, unsuccessful Offeror(s), and the reasons why any unsuccessful Offerors were not selected for Contract award.

The Notice of Award ("NOA") is SRTA's public notice of actual Contract award and will be publicly posted to the SRTA web site.

## **2.4. Company Structure**

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The Offeror will provide the legal form of its business organization, the state in which incorporated (if a corporation) or otherwise formed, the types of business ventures in which the organization is involved and the office location that will be the point of contact during the term of any resulting Contract.

## **2.5. Small and/or Minority Business**

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It is the policy of the State of Georgia that small and/or minority business enterprises shall have a fair and equal opportunity to participate in the State purchasing process. Therefore, the State of Georgia encourages all small and minority business enterprises to compete for, win, and receive contracts for goods, services, and construction. Also, the State encourages all companies to subcontract portions of any state contract to small and minority business enterprises. Offerors interested in taking advantage of the Georgia income tax incentives provided for by the O.C.G.A. §48-7-38, relative to the use of minority subcontractors in the performance of contracts awarded by the State of Georgia, should contact the Department of Administrative Services Vendor Relations Administrator.

## **2.6. Sales and Use Tax**

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In accordance with Official Code of Georgia Annotated §50-5-82, the State Entity is prohibited from awarding a contract to a nongovernmental vendor if that vendor or an affiliate of the vendor is a "dealer" failing or refusing to collect sales or use taxes on its sales delivered to Georgia. Please complete the Sales and Use Tax Form, which is included as Appendix E to this RFP.

In the event the Offeror is identified as an apparent successful vendor, the information provided in the Sales and Use Tax Form will be submitted by SRTA to the Georgia Department of Revenue ("DOR") for a determination as to whether the Offeror is a "prohibited source." SRTA reserves the right to submit the Offeror's completed form to DOR for review even if the Offeror has not been selected for award.

Any Offeror identified as a prohibited source will be ineligible for award. Accordingly, the Offeror is strongly encouraged to check its tax status now and resolve any outstanding tax liabilities prior to submitting this response. Department of Revenue has identified the following source to allow Offerors to check current tax status: <http://www.etax.dor.ga.gov>.

## **2.7. Mandatory Minimum Qualifications**

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SRTA will only consider RFP responses from Offerors meeting the following required minimum qualifications:

- Offeror organization must be a Microsoft Certified Business Partner
- Offeror organization must have a minimum of five years of experience implementing Microsoft Dynamics ERP solutions, including experience implementing AX
- Offeror organization must possess and attach a copy of the Microsoft Gold or Silver Certification in the Enterprise Resource Planning (ERP) competency
- Offeror organization must have experience implementing Microsoft Dynamics ERP solutions at a client with less than 100 employees/users
- One or more of Offeror's Key Staff must have a minimum of five years of experience implementing Microsoft Dynamics ERP solutions, including experience implementing AX
- One or more of Offeror's Key Staff must have experience implementing Microsoft Dynamics ERP solutions at a client with less than 100 employees/users
- One of Offeror's functional lead staff must have an accounting background or significant accounting experience (CPA preferred)

## **2.8. Proposal Withdrawal and/or Revision Following Submission**

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A submitted proposal may be withdrawn and changes to a submitted proposal can be made prior to the RFP due date and time. In the event an Offeror notes an error or omission in its response which was overlooked during the Offeror's review prior to submitting the response, the Offeror may contact the Contracting Officer to request the response be withdrawn. Please take note of the following limitations and risks regarding regaining access to the response:

- In order to reinstate the Offeror's ability to resubmit a response, the Offeror's original response must first be withdrawn
- Once the Offeror's response is withdrawn, SRTA has no response from the Offeror
- Unless and until the Offeror resubmits the revised response, SRTA will have no offer from the Offeror to evaluate for possible Contract award
- Any resubmission must be received by SRTA no later than the RFP due date and time

## **2.9. Conflict of Interest**

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The Offeror must disclose in detail anything that may create a conflict or appearance of a conflict of interest.

## **2.10. Offeror Responsibility**

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A Responsible Offeror is one that SRTA believes to be responsible based on responses provided on the Offeror's "Statement of Responsibility Certification Form" and/or based on Offeror's responses to the requirements of the solicitation document. SRTA reserves the right to conduct additional due diligence into



any Offeror's responsibility status. Such due diligence may include investigations into any of the items set forth on the form in Appendix F. Each Offeror must complete and submit Appendix F.

## 2.11. Contract Terms and Conditions

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The Contract that SRTA expects to award as a result of this RFP is Appendix H.

## 2.12. Execution of the Contract

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At the end of the evaluation process, SRTA shall contact the apparent successful Offeror. The apparent successful Offeror must return two signed Contracts acceptable to SRTA to the Contracting Officer within one (1) week of notification. Failure to do so may lead to rejection of the Offeror. SRTA reserves the right to proceed to discussions with the next highest ranked Offeror.

SRTA reserves the right to modify the Contract to be consistent with the successful offer.

# 3. Scope and Business Requirements

## 3.1 Functionality Required

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The Offeror will design, build, test and deploy Microsoft Dynamics AX 2012 software products/modules which meet SRTA's requirements as listed below. All Offeror services will take place at the SRTA headquarters in Atlanta. In response to this RFP, the Offeror should identify which and describe how AX products/modules satisfy each requirement below.

Functionality Requirements:

- General Ledger
  - Ability for users to enter requisitions; ability for budget to be encumbered when the requisition is entered
  - Ability to track and log audit trails
  - Ability to perform automated bank reconciliation
  - Ability to perform cash flow management
  - Ability to roll up multiple general ledgers into one master GL
  - Ability to perform standard general ledger actions
  - Ability to perform payables and receivables management
  - Ability to produce query reports by transaction type, date, user ID, account, fund or other appropriate selection criteria
  - Ability to run year-to-date GL audit trails by account, fund or in summary

- Ability to run current and to-date audit trail by project
- Budget
  - Ability to track multiple budgets and provide entire SRTA staff the ability to view real time budgets, encumbrances and detailed expenses by business unit and account number
  - Ability to track the date for budget reallocations
  - Ability to track multiyear contracts and roll forward purchase orders to a new fiscal year
  - Ability to provide budget vs. actual reports on a monthly and year-to-date basis, by fund and in summary
  - Ability to run budget vs. actual income statement that includes YTD expenses and YTD encumbrances (which includes all items requisitioned)
  - Ability to pre-encumber funds at the requisition level
- Procurement
  - Ability to provide automated workflows for PO Process
  - Ability to rollover past year POs (encumbrance)
  - Ability to automate procurement solicitation process
  - Ability to have fields in the vendor master file that are used to identify types of vendors (i.e., state contract vendors or disadvantaged business enterprises, etc.)
  - Ability to identify vendor structure, such as LLC, S Corp, etc.
  - Ability to manage approval of “draw down” on PO/task orders electronically
  - Ability to manage approval process to increase and decrease task orders electronically
  - Ability to source cradle to grave: i.e., automated requisition, encumbrance, solicitation, evaluation, notice of intent to award and notice of award, then contract management process
- Project Management
  - Ability to perform project time and expense reporting/tracking
  - Ability to set key performance indicators and provide benchmarking reporting
  - Ability to perform project accounting
  - Ability to track funding sources as well as uses
- Contract/ Grant Management
  - Ability to perform grant management functions: including initiation, tracking, budget, etc.
  - Ability to track grant allocations from SRTA to grant awardees and grant allocations received by SRTA
  - Ability to perform contract management (track project budget, timing, milestones)
  - Ability to track short pays and retainage by vendor
  - Ability to set up loan amortization schedules and track repayments by loan awardees
- Other
  - Ability to receive help desk support within normal business hours
  - Ability to provide digital document imaging, library and document repository
  - Ability to set controls at the account (user) and field level
  - Ability to create and provide reports to SRTA Staff via a report writer
  - Ability to create simple ad hoc reports to meet the needs of end users’ job functions without the intervention of dedicated report writers
  - Ability to create “canned” AX reports and to “drill down” to transaction level

- Ability to drill down into transactional details on summary reports
- Ability to appropriately segregate duties with user roles
- Workflow abilities to automatically progress multi-user tasks from one user to another

## 3.2 Warranty and Maintenance Requirements

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The Offeror shall provide a detailed description regarding a one year warranty period and the five-year maintenance support agreement for the AX system including costs. The Offeror shall also describe its policy with respect to superseded and discontinued software, error correction, revisions and upgrades. The Offeror shall describe its available telephone support. SRTA is interested in the various levels of maintenance support that are available, the direction, financial capability and commitment of the Offeror for support and enhancement of the software. The Offeror shall describe its process for escalation of support issues and outline its approach for providing SRTA assurance that important support requests are addressed in a timely manner. As part of this, the Offeror shall provide their support service level agreement for different levels of issue criticality (e.g., system down, key transactions not processing, data not displaying properly, etc.)

## 3.3 Deliverables

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During vendor negotiations, SRTA and the Offeror will finalize specific implementation scope that includes project milestones and deliverables, target dates for these milestones, and the not-to-exceed value of each milestone. In the RFP response, the Offeror shall describe its approach for performing the AX implementation, including proposed milestones and deliverables, target dates for the milestones, and not-to-exceed value of each milestone. The implementation approach should include descriptions of each step within the Offeror's implementation methodology including a listing of the deliverables and milestone dates provided at each step. While the Offeror may propose its own deliverables, the Offeror should include the following deliverables, at a minimum, as part of its implementation approach:

- Detailed Project Plan
- Detailed Design Documents
- End-User Training Manual
- Testing Plan and Success Criteria
- Functional Test Scripts
- User Acceptance Test Scripts
- Data Migration and Cutover Plan
- Change Management Plan (See 4.2 for further detail)
- End-User Training Plan (See 4.3 for further detail)
- Quality Assurance Plan (See 4.4 for further detail)

## 4. Required Approach

### 4.1 Project Overview

SRTA has outlined the implementation project into three major phases: Phase 1 – Plan & Design, Phase 2 – Build, Test & Deploy, and Phase 3 – Support & Maintain.

#### 4.1.1. Phase 1 – Plan & Design:

During Phase 1, the Offeror will work with SRTA users, IT personnel and potentially external consultants to plan and design the future state business processes based on AX off-the-shelf functionality (with minimal configuration). The Offeror will work with SRTA to understand existing business processes and related ERP and shadow systems, design future state business processes, and establish detailed design requirements for the AX implementation. SRTA will consider changing business processes if needed to conform to “out-of-the-box” functionality.

SRTA’s existing knowledge of AX functionality is limited to demonstrations provided during the business case analysis. SRTA has limited knowledge of AX functionality, workflows and reporting capabilities. SRTA understands there is room for improvement of its current business processes and workflows and, therefore, is willing to reengineer its existing business processes to fit AX functionality. The Offeror will work with SRTA personnel to demonstrate AX functionality and capability during Phase 1.

Phase 1 will also serve to enhance the Offeror’s understanding and knowledge of SRTA, including SRTA’s policies, business processes, information requirements, and existing applications and databases.

As SRTA and the Offeror gain mutual understandings of SRTA’s current processes and AX functionality, SRTA and the Offeror will collaboratively work to design the AX system. The Offeror will prepare system detailed design documents and submit to SRTA for review and approval. The Offeror will document all design decisions in written form, including the following:

- The Offeror will describe at a high level how AX will be used at SRTA
- The Offeror will describe the implementation order of AX modules
- SRTA and the Offeror will finalize the data to be migrated from the current ERP to AX. At this time, SRTA anticipates migrating data from the past three fiscal years. Older data should be placed in a database that can be queried to obtain detail information
- The Offeror will assist SRTA staff in the design of future state workflows which should align with AX functionality
- The Offeror should identify any third-party software that may be required to successfully implement AX

As an output to the Plan & Design Phase 1, the Offeror will prepare a detailed project plan and submit to SRTA for review and approval.

#### **4.1.2. Phase 2 – Build, Test & Deploy:**

Phase 2 will involve the Build, Test and Deploy activities of AX as planned and designed in Phase 1. SRTA expects the Offeror to lead or be involved with the following implementation activities:

- Standard deployment and configuration of AX software
- Modify SRTA business processes to fit AX functionality (SRTA will drive modification with assistance from Offeror)
- Migrate financial data from the past three years from GP to AX and develop database for older information
- Change management from existing to future state AX processes
- Software Testing and User Acceptance Testing
- Train SRTA staff on how to use AX
- Quality assurance
- Cutover

SRTA requires each component of Phase 1 and Phase 2 to be fully completed by March 31, 2014.

#### **4.1.3. Phase 3 – Support & Maintain**

In Phase 3, the Offeror will provide Post Go-Live Support to fix defects identified by SRTA users within the first three months using the system after the Go-Live date of March 31, 2014. The Post Go-Live Support phase will end on June 30, 2014 after a successful monitoring and cutover of the system. Upon successful completion of the cutover, a one year warranty period would begin on July 1, 2014. This period will end on June 30, 2015. The five year maintenance period will begin on July 1, 2015 with an end date of June 30, 2020. The Offeror shall provide a detailed description and costs regarding warranty and maintenance support for the above periods.

#### **4.1.4. Project Governance**

The Project Champion for the project will be the SRTA Chief Financial Officer (CFO). The CFO will take an active role in monitoring the status of the project. As Project Champion, the CFO will be the final decision maker for project scope, project design, philosophy of ERP use, issue resolution, and approval of any change orders. The Project Champion will be responsible for driving change that is required to create a centralized vision for the ERP System.

The SRTA Project Champion will be supported by the SRTA Team Lead and the SRTA Project Manager, who will be responsible for managing daily activities and details. The SRTA Team Lead for the project will be the SRTA Comptroller. The SRTA Team Lead and the SRTA Project Manager will manage project scope, project design, and ERP system implementation. Under the direction of the SRTA Team Lead, the SRTA Project Manager will:

- Manage and direct SRTA personnel serving in subject matter expert roles
- Facilitate organization-wide communication
- Monitor all work plans and oversee implementation project progress

- Analyze any change order requests for impact to the project's scope, schedule, and budget and recommend disposition
- Monitor deliverable/milestone quality
- Manage the project budget and payments
- Assess and manage project risk
- Manage any third party vendor participants on the implementation team (i.e., IV&V vendor)
- Act as the initial approver on all issue, risk and change order resolution
- Manage User Acceptance Testing

It is the intention of SRTA to reduce ERP implementation risk through a diligent analysis and sourcing effort that will identify the exact scope requirements expected to be implemented. This scope of services requires tight management of issues, risks and potential changes to scope that can affect a project. SRTA plans to use the Project Manager as a central control point to assure that the scope of services is successfully implemented both on-time and under budget. SRTA expects to utilize a third-party vendor to assist with governance and management over the implementation. This third-party will work through the SRTA Project Manager.

It is expected that the Offeror will develop a work plan that follows a standard work breakdown structure (WBS). The work plan will be required to have a fixed duration (based on experience) and resolve work and resource loading. The work plan must identify the specific tasks that will be required to create deliverables, with all deliverables associated to a payment milestone. Payment milestones must be scheduled and the work plan must be resource loaded. A resource assigned is allowed a maximum of 100% of their time available to be worked.

It is expected that the Offeror will provide monthly status reports to ensure the SRTA management team is aware of the overall project progress. SRTA may request for these reports to be provided on a bi-weekly or weekly basis during the project implementation. These status reports should include the following sections:

- Time Line Progress
- Budget Progress
- Issues
- Risks
- Change Orders
- Deliverable Quality Assurance and Acceptance

As part of project risk management, it is expected that the Offeror assign a probability rating to each risk, which is a numerical value. Once the probability is assigned, the next step is to assign a severity rating to each risk. The severity rating is impacted by both monetary and nonmonetary impact. Once severity is assigned, a criticality rating is assigned to each risk by summing the average probability ratings and average severity ratings. This method will facilitate the review of project risks in status reports.

Every project has issues that arise during the implementation. It is expected that the Offeror will manage an issues log that will manage these roadblocks to success. Each issue will have a short description and



long description. Each issue will be assigned to a resource for resolution, along with an expected due date. If a due date requires an extension, the issue is escalated until the issue resolved. The SRTA Project Manager will serve as the initial approver on all issue resolution followed by the SRTA Team Lead. The last point for resolution will always be the SRTA Project Champion, if required.

Change orders are common to many ERP Projects due to misinterpretations related to poor requirements or scope definition. It is the intent of this SRTA procurement document to clearly, concisely and comprehensively define the requirements for the scope of this project. This information should remove as much misinterpretation, as possible, improving the ability to achieve expected results.

Change order requests may be initiated by SRTA personnel or the Offeror; however, typically the Offeror will capture requests related to scope of work and formally document each request. Once a request is documented, the Offeror should initially analyze each change order request for its impact to the project's scope, schedule, and budget before discussing with the SRTA Project Manager. The SRTA Project Manager will then make recommendations regarding the disposition of each change order request and present the request to the SRTA Team Lead and Project Champion for approval. Any approved change order requests are appended to the Statement of Work and all scope, schedule, and budget impacts will be reflected in an updated baseline Project Plan.

#### **4.1.5. Level of SRTA Staff Support**

SRTA has a limited back office staff, and as such, will be unable to commit resources to this ERP implementation project on a full-time basis. The current plan is to provide a single SRTA Team Lead who has a deep, across the board knowledge of the business processes in these functional areas. The Offeror should anticipate that SRTA's participation in this implementation will be as follows:

1. Participation of the SRTA team lead should be limited to three days a week during the implementation phase
2. Participation of other subject-matter experts from within central support functions should be limited to no more than two days a week during the implementation phase.

Documentation and configuration beyond these projected levels of participation should be performed by the Offeror. SRTA requires that the Offeror document its assumptions of SRTA personnel effort in its proposal response to this RFP.

## **4.2 Change Management Plan**

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### **4.2.1. Governance and Change Agents**

Effective change management must utilize an understanding of where change resistance exists and must manage each change impact as a risk to project success. Managing the impact of these changes involves planning, communicating and mitigating the risks associated with change. It is expected that the Offeror will provide a Change Lead for this ERP project that brings knowledge and experience in these areas and that can provide leadership in these areas. The Change Lead will develop the change management approach for approval by the SRTA Project Manager and direct the process of managing change. An

effective change management plan will seek to involve employees within SRTA to act as advocates and Change Agents that support the change to a new ERP system and new business processes.

The recommended approach to change management would include:

- The SRTA Project Champion who also is the sponsor of the ERP Project
- The SRTA Team Lead will make business decisions regarding the ERP System Implementation
- The SRTA Project Manager will ensure consensus decisions are supported and implemented across the organization
- The Offeror Change Management Lead who will develop the comprehensive change management approach, which includes the communication plan, identification of the Change Agent network, management of user acceptance testing, and management of change resistance issues
- A Change Agent Network, led by the SRTA Project Champion, of employees who will support change and communicate the benefits associated to changing employee expectations

Together these resources would comprise the Change Management Team.

The change management plan should address the following:

- Gaining an understanding of change impacts to employee expectations
- Communicating, teaching and training employees on the benefits of change
- Sponsoring change through the Change Agent Network
- Managing change throughout the Project Life Cycle
- Continuously communicating changes in expectations to End-Users

#### **4.2.2. Employee/End-User Impact**

The Offeror should understand current state and desired future state during Phase 1 to determine future changes. These changes can include new business processes, new organizational alignment, new systems, new policies, new procedures, and new performance metrics. These changes will likely be difficult for employees to adopt, especially in this case where numerous business process changes are anticipated. Therefore, the first step in managing change is gaining an understanding of the change impacts.

Information about change impacts need to be documented by change type and by functional area. The types will include:

- Organizational Change
- Business Process Change
- Policy and Procedure Change
- Technology Change
- Output/Performance Metric Change

This information should generate a change impact list that will be managed during implementation to prepare users for the changes to come. The changes will be managed through weekly meetings, communications and the support of the Change Agent network.

#### **4.2.3. Change Management Training and Communication**

The Offeror Change Management Lead will be responsible for leveraging a Change Management Network, which is a group of selected functional leaders and advocates of change. This group will be trained to perform Change Agent work related to supporting the changes related to the project. The Change Management Team will be responsible for communicating change. This begins with what changes have been accepted as a part of the ERP implementation analysis and the rationale behind those changes. The benefits to SRTA that were accepted may or may not be beneficial to or perceived to be beneficial to impacted employees. Communicating change requires a continuous effort to remind employees of the benefits and how they will benefit SRTA, as a whole. This will be managed through periodic meetings and other communications provided to End-Users throughout the implementation project beginning in Phase 1.

Sponsoring change begins with understanding how to be a sponsor. Sponsors are employees in the organization who have influence and can enforce a change if they choose to do so. It is critical to engage sponsors, like the Project Champion, Team Lead, and the Project Manager and ensure they are aware of the necessity for change through observing critical events, reading analysis reports, and anticipating the needs to manage budget deficits. Sometimes the advocating influence comes from peer sponsors in other parts of the organization or from sponsors higher in the organizational structure.

Since we know that End-Users will be impacted heavily throughout implementation of the ERP solution, it is important for the sponsors and Change Agents to understand the key factors that typically “derail” ERP projects. These factors can be influenced by several major variables:

- How strategic or tactical these changes will be?
- What is the strength of commitment of those individuals with the power to legitimize the change?
- What is the skill level of Change Agents in addressing the human aspects of the change?
- How resistant are those individuals who must change the way they work?
- How will this change fit the current culture, including reward, recognition, compensation, and employment?
- How comprehensive is the implementation management plan, created during the planning and preparation stage, to manage the people, process, and technological objectives?

A Change Agent Network should be created to support the human side of change that will occur through the implementation of an ERP Solution. Since Change Agents need to understand the reasons why people resist change and to develop skills to help people assimilate and deal with the change, network members will come from all departments and agencies and will represent various levels of seniority with departments and agencies to provide a comprehensive support team for End-Users.

Characteristics of ideal Change Agents are those who are respected by coworkers and can influence employees in a given department. Change Agents are typically enthusiastic and will utilize their enthusiasm and influence to communicate the benefits of the ERP project to all employees.

Managing change requires a holistic approach. Change impacts related to ERP projects occur when expectations are disrupted, affecting End-User feelings of competence, comfort, confidence and control. A critical role played by SRTA functional leaders is their participation in the Change Agent Network. The SRTA Project Champion, Team Lead, and Project Manager should be trained by the Offeror on how to be or become a Change Agent. Once trained, these SRTA leaders can assist in selecting the Change Agents for the project, who, in turn, will be trained and will lead the efforts to assist End-Users in assimilating change or adjusting to disruption related to the ERP solution. Everyone has a limit as to the amount of change they can absorb at any given time. Training will prepare this team of employees to lead and support other employees, across SRTA, through the process of change.

The following attributes should be the program objectives of any Change Agent training course:

- Develop an understanding of the organizational and human dynamics of change
- Become aware of the risks associated with implementing change
- Begin to develop the skills necessary to be an effective Change Agent

The training of Change Agents must be completed prior to beginning the implementation phase of the project.

#### **4.2.4. Change Management Throughout the Project Life Cycle**

It is important that change management services are provided throughout all phases of the ERP implementation.

During Phase 1 (Plan & Design), the Change Management Lead functions as the lead for business process analysis to ascertain the change impacts to current business processes. These changes are cataloged and transferred into a change impact list or log that will be managed and communicated to impacted End-Users during implementation.

During Phase 2 (Build, Test & Deploy), the Change Management Lead is responsible for communication and managing change relating to the change impact list documented during the analysis and solution phases. This type of Change Management is a soft skill and requires an understanding of change dynamics as they relate to affect End-Users.

In addition to traditional soft skill responsibilities, the Change Management Lead is also responsible for ensuring that all change impacts are validated during the detailed design and any conference room pilot that leads to development of the ERP solution. Change impacts are typically related to a change in expectations of current business processes, organization alignment, systems, outputs being produced and policy, procedure and controls. These impacts are documented through savings scenarios and are then related to the employees who are directly affected in order to verify the size and span of the impact. Additional change impacts that are identified will be added and must be documented and logged. Any requirements that will be dropped must be discussed and agreed upon by the SRTA Team Lead and Project Manager, prior to beginning development.

Once development begins to wind down, the Change Management Lead is responsible for supporting the development of Integration Test Scripts. These scripts will be used for Integration Testing, which will be monitored by the Change Management Lead.

Once Integration Testing is completed, the Change Management Lead is responsible for leading End-User Acceptance Testing, where the Change Agent Network is used to test the solution, using the Integration Test Scripts. User Acceptance Testing must be concluded prior to the start of training End-Users. This is the last milestone that must be managed by the Change Management Lead, prior to supporting transition to Go-Live.

During Phase 3 (Support & Maintain), the transition to Go-Live has occurred and the Change Management Lead continues to be responsible for communication and managing change relating to the change impact list documented during the analysis and solution phases. The Change Management Team must also begin to document any extended need for transitional support after Go-Live. The Change Management Lead is responsible for developing End-User-specific plans to remove these extended needs for transitional support.

From the time the implementation project commences until it is complete, communication will be a key to its success. Communication will be provided in many forms, but the ERP implementation team's approach should include the following standard communication methods:

- Meetings with Change Agents
- Workshops
- SRTA communication processes (i.e., employee newsletters, project web site)

Offerors should propose frequency and structure around the communication methods listed above in the proposed approach.

The Change Management Lead should collaborate with SRTA management to ensure messaging is clear, consistent and follows any SRTA or State of Georgia guidelines. The focus of communications will be to counteract any misunderstanding that could cause disruption to the ERP implementation and promote End-User resistance.

## **4.3 End-User Training Plan**

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### **4.3.1. Goals and Objectives**

Since this implementation project will generally leverage a standardized configuration, training could be provided using "out of the box" for standard software transactions; however, this approach can be an insufficient method for providing holistic end-user training. End-Users must understand not only how the new ERP solution operates by transactions, but also how the current-state business processes were transformed around the ERP system. The development of a comprehensive training plan will provide SRTA's end-users with adequate knowledge transition from current business processes and tasks to the ERP solution. The focus should be on ensuring that training is customized specific to SRTA's business functions.

The goal of the SRTA training plan should be to comprehensively develop and deploy a holistic training program for all end-users of the new ERP solution. The expectation is that all end-users will receive training that provides an end-to-end process overview including activities and tasks that take place both inside and outside of the ERP solution. Supporting this goal are the following training objectives:

- Define standards that provide a comprehensive mechanism to document and map all processes, people, systems and training courses required by the new system
- Accurately document all processes affected by the ERP solution through the comparison of current processes and systems to the newly designed system
- Conduct functional classroom training for positions affected by the new system
- Develop user support documentation that defines how the ERP solution and any bolt-on or interfaced systems will be used by positions affected by the new system
- Develop technical lab training courses that relate to the individual skill requirements of all positions affected by the new system
- Provide training exams to validate that learning objectives are met
- Provide an online media and reference library to support training delivered to positions affected by the new system

#### **4.3.2. Training Team**

The Training Team includes the Offeror Training Lead, the SRTA Team Lead and Project Manager and any training developers, and can also include individuals selected from throughout SRTA who are dedicated to the long-term success of the ERP project. The role of the Training Team is to assist the Training Lead in defining and sustaining a sound training strategy to transition from the current business processes to the ERP technology and utilize state of the art training tools

The Offeror will lead the training team efforts through a dedicated Training Lead resource. This Training Lead will be responsible for the following:

- Planning, developing, and documenting the training logistics and courseware
- Providing the development and delivery of training courses in various forms of media and supporting the training need as required by SRTA. All training will be initially taught as “train the trainer” training. Subsequently, these trainers will train employees, with support and assistance from the Training Lead and Training Developers
- Oversight of training developers who report to the Training Lead. Any training developers used as a part of the Training Team will need to be skilled in any training development tools used to prepare the training courses
- The design of training courses and tracking course development using the training development tools provided by the Offeror
- Coordinating training efforts with SRTA training personnel to perform train the trainer services that will leverage existing trainers in teaching the larger employee population during the implementation

#### **4.3.3. Standardized Transactional Training**

As the implementation begins, the implementation team should begin its study of current and future state process flow diagrams in order to ensure that they incorporate all requirements into the solution design. While the implementation team performs this task, the SRTA Project Champion and SRTA Team Lead should be provided with Standardized Transactional Training on Microsoft Dynamics AX. This training will provide an overview and a moderate level of understanding of standard “out of the box” software functionality. Staging training with these key SRTA leaders at this point is critical, because it provides an initial understanding of the Microsoft Dynamics AX’s capabilities prior to start of the application design and configuration.

#### **4.3.4. Virtual End-User Training Course Development**

Training is one of the most significant undertakings for an organization during an ERP implementation. The strategy for designing an effective training program begins with addressing the processes that support the current day-to-day business activities. Training preparation consists of several tasks such as:

- Define End-User Training Plan
- Project Team Training Preparation
- Conduct Project Team Training
- Assign End-User Training Coordinator
- Conduct End-User Needs Assessment
- End-User Skills Matrix
- Draft Curriculum
- Select Training and Documentation Delivery Tools
- Define Training Environment Requirements
- Establish Training and Documentation Maintenance Plan
- Finalize End-User Strategy and Project Plan

The delivery and deployment techniques established at the onset of implementation are critical to the success of training. This initial assessment will use the data gathered from the SRTA business case analysis to determine the best approach to addressing some the issues that will be associated with training delivery. These issues range from logistics issues that might be identified to learning gaps that may be identified. However, the most valuable information needed will be the mapping of current employees to current processes, demonstrating the alignment of the training courses required by individual employee.

Throughout the training development and delivery, it is important to keep in mind that the training program must encompass ongoing support tools that support the initial ERP environment and also accommodate future changes in the enterprise processes as well as upgrades to the system. Since these changes will be inevitable as the enterprise evolves over time, it is important to standardize the learning infrastructure.

In today’s work environment, there are many demands placed upon workers’ time; therefore, the training strategy will need to utilize an integrated mixture of business process overview and technology. In addition, the use of any interactive training development and delivery tools will focus on the following:

- End-User Technical Training Scripts
- End-User Reference Videos
- End-User Reference Guides
- End-User Technical Lab Logistics Plan

Preparing for an implementation such as this requires multiple concurrent efforts. Establishing the Training Team early on in the design process to provide support through the design, build, and test phases would create added value for the training program. This technique will leverage the team's engagement along with their process knowledge and core business experience. This type of team engagement facilitates maximum efficiency in the training efforts by eliminating duplication and rework. The training developed is streamlined to ensure that delivery is relevant to the end-user's business function.

The need for educating SRTA employees at varying skill levels can require significant logistical preparation. Part of the preparation is to assemble a schedule that includes phased training as the ERP solution or future enhancements are introduced across the varying functional areas. The preparation for implementation will include the following:

- Documented End-User Training Approach
- Documented Train the Trainer Team Training Plan

Knowledge management practices and desktop learning are effective in reaching end users with consistent quality and in increasing knowledge retention and user access. The desktop integration of a training solution has many benefits such as cost reduction. Deploying desktop learning tends to increase user participation because self-paced learning eases the anxiety that end-users may experience in an instructor-led course.

Developing the training solution is a multifaceted undertaking that includes hybrids between standard interactive, WebEx and Computer-Based Training (CBT) desktop learning as the method-of-choice delivery. Training courses should be conducted using ERP training development tools that utilize the screen capture technology. This approach will yield a comprehensively developed course that will include the business function and supporting tasks outside of the ERP system to each transaction within the ERP system. This allows the ERP investment to be spread across other areas of the organization and improve training effectiveness beyond the ERP initiative.

During the implementation phase, there will be multiple rounds of testing of the ERP solution. It is during these rounds of testing that the training tools should also be tested for efficacy. This dual effort will help identify the gaps in the training plan and the solution itself. The training team should conduct a test of the test database to ensure that all data is accurate and transactions are working correctly. This testing should consist of real life business scenarios.

Training is usually integrated in this process as this type of testing tests both the system and user competency simultaneously. All interfaces and bolt-ons if applicable should be included in all test scripts. Test scripts should be developed to simulate the actual work environment using the future state business processes. Implementing a Train the Trainer approach will prove quite effective during the testing phase of the solution. Utilizing the Training Team members in dual roles, because of the exposure to the system,

makes them ideal candidates for in house trainers. It is not only a cost-effective approach, but also increases the knowledge capital of the organization.

#### **4.3.5. Examinations**

The final step on the path to end-user adoption is to pass a training examination. Examining the end-user at this point is essential in determining a user's readiness to perform job functions in the new ERP solution. Passing this exam is the trigger that sets in place a user's access to the system. This readiness step is critical to both training and change management success, because it documents the ability of an end-user to actually use the ERP solution to process business transactions. Upon identification of knowledge transfer success, all that remains is the management of user willingness to adopt the new process.

#### **4.3.6. Training Management Throughout the Project Life Cycle**

Training should not cease with Go-Live as there will be personnel changes and process enhancements that will drive the need for future ERP training. The training plan should include provisions for future training that could include elements like a training media library. A training media library would also support the ability of current users to refresh their understanding of the ERP system and related business processes.

### **4.4 Quality Assurance Plan**

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#### **4.4.1. Migration Strategy**

Quality assurance begins with clear understanding of the deliverables that will be completed for the project. These deliverable templates must be created prior to beginning the implementation. Once templates are available, expectations of deliverable content and format will be established by the SRTA Project Manager, defining the meaning of quality for each deliverable. As deliverables are completed, the deliverables will be approved by the SRTA Project Manager.

A key to success in ERP projects is not allowing too many parallel activities to affect the overall quality of the project. To do so, each phase of implementation has been broken into some major stages including Plan & Design (Phase 1); Build, Test & Deploy (Phase 2); and Support & Maintain (Phase 3). Each of these stages should have associated deliverables, which must be completed prior to beginning the next stage of work. This will ensure that all deliverables are reviewed, edited, approved and signed-off with quality, meeting expectations for each deliverable.

A migration strategy should be developed by the Offeror with coordination through SRTA that details the environments that will exist for the purposes of configuration, development, testing, quality assurance and production. These environments provide a logical progression from initial concept to a fully tested and quality deliverable. Lack of a disciplined migration strategy can lead to errors that could affect the production environment, which must be avoided. The migration strategy is a required deliverable for the selected Offeror.

#### **4.4.2. Development Standards**

An area of quality assurance not always focused on is development standards. These standards define how development programming will be designed, developed, tested and documented. No matter where the development is performed, these standards must be adhered to. By defining these standards and quality checking all development objects to ensure they adhere to the defined standards, SRTA can be assured that these objects can be supported.

#### **4.4.3. Senior Quality Assurance Advisor**

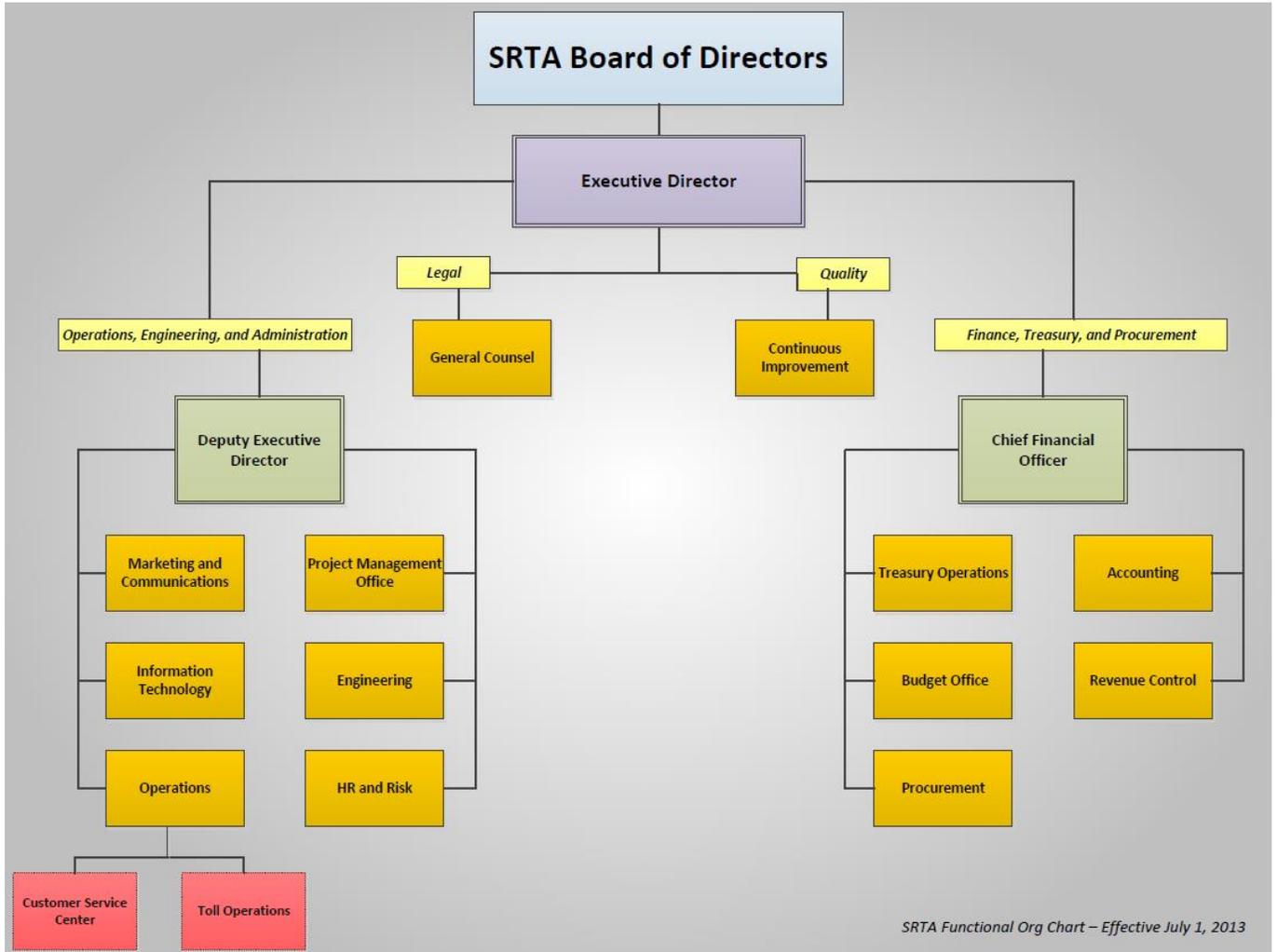
A critical part of every ERP implementation project is the inclusion of a senior executive from the selected Offeror, who serves as a Quality Assurance (QA) Advisor for his/her company's services. This resource may be called a QA Partner or QA Director and is assigned the task of performing quality assurance checks as part of the project work plan and also has the responsibility of delivering quality assurance information for status reports in collaboration with the SRTA Director of Continuous Improvement. The Senior Quality Assurance Advisor must be independent and objective, meaning that this position should not report up through the Offeror Project Manager.

The typical quality assurance check will occur, at a minimum, at the end of each project phase, but could occur as regularly as a monthly basis. It is important to note that this Offeror executive's review is expected to be based on their individual experience and that their review will be discussed with both the SRTA Team Lead and SRTA Director of Continuous Improvement.

A typical QA Check should include the following items:

- Checks to ensure adherence to the project's methodology
- Use of tools and methods
- Project progress as compared to plan
- Issue Resolution, Risk Mitigation, and Change Order Disposition
- Deliverable Quality and Conformance
- Document Management
- Submission of a QA Health Report to the SRTA Team Lead

**Appendix A - SRTA Organization Chart**



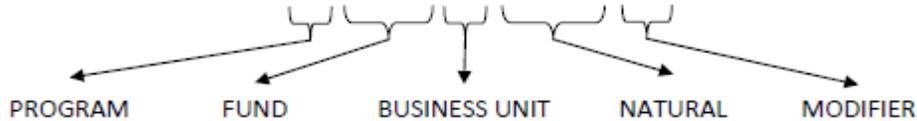


**Appendix B - Technical Environment**

**Appendix C - SRTA Chart of Accounts**

**SRTA CHART OF ACCOUNTS**

ACCOUNT CODE EX: 01-06000-10-501000-000



PROGRAM
01 - Tolling Program
02 - GTIB
03 - Administration
04 - Transportation
05 - Bonds/Debt Service

FUNDS
Examples:
03000 - I-75 South Managed Lanes
07101 - Town Center Area CID
02004 - 2006 GARB
08001 - I-75 South Managed Lanes
80000 - Governmental Capital Assets

BUSINESS UNIT
Examples:
09 - Executive
10 - Operations
11 - Treasury
12 - Legal
13 - Human Resources
14 - Accounting
15 - Information Technology

Account Structure Examples
<p><b>01 – Tolling</b></p> <ul style="list-style-type: none"> <li>• 04000 - I-75 NWC Managed Lanes</li> <li>• 05000 - GA 400 Toll Plaza Operations               <ul style="list-style-type: none"> <li>• 05001 - GA 400 Lane Widening McFarland Pkwy to SR 20</li> <li>• 05002 - GA 400 Managed Lanes Project I-285 to McFarland Pkwy                   <ul style="list-style-type: none"> <li>• 01-05002-00-101999-000 - Interfund Cash</li> <li>• 01-05002-00-188900-000 - Other Assets - WIP</li> <li>• 01-05002-00-234000-000 - Due to Fund 00</li> </ul> </li> </ul> </li> </ul>
<p><b>03 –Administration</b></p> <ul style="list-style-type: none"> <li>• 01000 – Administration               <ul style="list-style-type: none"> <li>• 01009 - ERP Oversight                   <ul style="list-style-type: none"> <li>• 03-01009-00-337000-000 - Restricted for ERP Oversight</li> <li>• 03-01009-00-471001-000 - Transfers In from SRTA Reserves</li> </ul> </li> </ul> </li> </ul>
<p><b>05 – Bonds/Debt Service</b></p> <ul style="list-style-type: none"> <li>• 02000 – Bonds/Debt Service               <ul style="list-style-type: none"> <li>• 02007 - 2009A RIBS</li> <li>• 02008 - 2009A GARB                   <ul style="list-style-type: none"> <li>• 05-02008-00-103017-000 - 2009A GARB Debt Service #142802</li> <li>• 05-02008-00-103018-000 - 2009A GARB Revenue Account #142805</li> <li>• 05-02008-00-108017-000 - 2009A GARB Debt Service Investment #142802</li> </ul> </li> </ul> </li> </ul>



**Appendix D - Question and Answer Form**



**Appendix E - Sales and Use Tax Form**



**Appendix F - Responsibility Form**



**Appendix G - Contractor and Subcontractor Affidavits**



## Appendix H - Contract

This section will include Contract



**Appendix I – Cost Proposal and Payment Schedule**