

Consulting and Technical Services+ (CATS+)  
Task Order Request for Proposals (TORFP)

**SECURITY PENETRATION TESTING**

CATS+ TORFP  
D80B5400025  
MIA-MIS-17-002



The Maryland Insurance Administration (MIA)

Issue Date: 01/04/2017

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## KEY INFORMATION SUMMARY SHEET

This CATS+ TORFP is issued to obtain the services necessary to satisfy the requirements defined in Section 2 - Scope of Work. All CATS+ Master Contractors approved to perform work in the Functional Area under which this TORFP is released shall respond to this TORFP with either a Task Order (TO) Proposal to this TORFP or a Master Contractor Feedback form (See Section 3).

Solicitation Title:	Security Penetration Testing
Solicitation Number (TORFP #):	MIA-15-010
Functional Area:	Functional Area 6 Systems/Facilities Management and Maintenance
Issue Date:	01/04/2017
Questions Due Date and Time:	01/18/2017 at 5:00 PM Local Time
Closing Date and Time:	<b>03/17/2017 at 3:00 PM Local Time</b>
TO Requesting Agency:	The Maryland Insurance Administration (MIA)
Send Proposals to:	Rodney Spence email to: Procurement.mia@maryland.gov <b><i>E-mail submission strongly preferred.</i></b>
Send Questions to (e-mail only)	Procurement.mia@maryland.gov
TO Procurement Officer:	Rodney Spence Office Phone Number: 410 468 2379 Office Fax Number: 410 468 2020
TO Manager:	Paula Keen Office Phone Number: 410 468 2059 e-mail address: paula.keen@maryland.gov
TO Type:	Fixed Price
Period of Performance:	One (1) year base period and up to two (2) one-year option periods
MBE Goal:	0 %
VSBE Goal:	0 %
Small Business Reserve (SBR):	No
Primary Place of Performance:	Maryland Insurance Administration 200 Saint Paul Place Suite 2700 Baltimore MD 21202
TO Pre-proposal Conference:	MIA, 200 Saint Paul Place, Suite 2700, Baltimore MD 21202 01/17/2017 at 2:00 PM Local Time

## SECTION 1 - ADMINISTRATIVE INFORMATION

### 1.1 TORFP SUBJECT TO CATS+ MASTER CONTRACT

In addition to the requirements of this TORFP, the Master Contractors are subject to all terms and conditions contained in the CATS+ RFP issued by the Maryland Department of Information Technology (DoIT) and subsequent Master Contract Project Number 060B2490023, including any amendments.

All times specified in this document are local time, defined as Eastern Standard Time or Eastern Daylight Time, whichever is in effect.

### 1.2 ROLES AND RESPONSIBILITIES

Personnel roles and responsibilities under the TO:

- A. **TO Procurement Officer** – The TO Procurement Officer has the primary responsibility for the management of the TORFP process, for the resolution of TO Agreement scope issues, and for authorizing any changes to the TO Agreement.
- B. **TO Manager** - The TO Manager has the primary responsibility for the management of the work performed under the TO Agreement; administrative functions, including issuing written directions and for ensuring compliance with the terms and conditions of the CATS+ Master Contract.

The TO Manager will assign tasks to the personnel provided under this TORFP and will track and monitor the work being performed through the monthly accounting of hours deliverable for work types; actual work produced will be reconciled with the hours reported.

- C. **TO Contractor** – The TO Contractor is the CATS+ Master Contractor awarded this TO. The TO Contractor shall provide human resources as necessary to perform the services described in this TORFP Scope of Work.
- D. **TO Contractor Manager** – The TO Contractor Manager will serve as primary point of contact with the TO Manager to regularly discuss progress of tasks, upcoming tasking, historical performance, and resolution of any issues that may arise pertaining to the TO Contractor Personnel. The TO Contractor Manager will serve as liaison between the TO Manager and the senior TO Contractor management.
- E. **TO Contractor Personnel** – Any official, employee, agent, Subcontractor, or Subcontractor agents of the TO Contractor, who is involved with the TO over the course of the TO period of performance.
- F. **Key Personnel** – A subset of TO Contractor Personnel whose departure during the performance period, will, in the State’s opinion, have a substantial negative impact on TO performance. Key personnel proposed as part of the TO Proposal shall start as of TO Agreement issuance unless specified otherwise in this TORFP or the Offeror’s TO Technical Proposal. Key Personnel may be identified after TO award.

### 1.3 TO AGREEMENT

Based upon an evaluation of TO Proposal responses, a Master Contractor will be selected to conduct the work defined in Section 2 - Scope of Work. A specific TO Agreement, Attachment 3, will then be

entered into between the State and the selected Master Contractor, which will bind the selected Master Contractor (TO Contractor) to the contents of its TO Proposal, including the TO Financial Proposal.

#### **1.4 TO PROPOSAL SUBMISSIONS**

The TO Procurement Officer will not accept submissions after the date and exact time stated in the Key Information Summary Sheet above. The date and time of an e-mail TORFP submission is determined by the date and time of arrival of all required files in the TO Procurement Officer's e-mail inbox. In the case of a paper TO Proposal submission, Offerors shall take such steps necessary to ensure the delivery of the paper submission by the date and time specified in the Key Information Summary Sheet and as further described in Section 3.

Requests for extension of this date or time will not be granted. Except as provided in COMAR 21.05.03.02F, Proposals received by the Procurement Officer after the due date will not be considered.

#### **1.5 ORAL PRESENTATIONS/INTERVIEWS**

All Offerors and proposed TO Contractor Personnel will be required to make an oral presentation to State representatives in the form of interviews. Significant representations made by a Master Contractor during the oral presentation shall be submitted in writing. All such representations will become part of the Master Contractor's proposal and are binding, if the TO is awarded to the Master Contractor. The TO Procurement Officer will notify Offerors of the time and place of interviews.

#### **1.6 QUESTIONS**

All questions must be submitted via e-mail to the TO Procurement Officer no later than the date and time indicated in the Key Information Summary Sheet. Answers applicable to all Master Contractors will be distributed to all Master Contractors who are known to have received a copy of the TORFP.

Answers can be considered final and binding only when they have been answered in writing by the State.

#### **1.7 TO PRE-PROPOSAL CONFERENCE**

A pre-proposal conference will be held at the time, date and location indicated on the Key Information Summary Sheet. Attendance at the pre-proposal conference is not mandatory, but all Master Contractors are encouraged to attend in order to facilitate better preparation of their proposals.

Seating at the pre-proposal conference will be limited to two (2) attendees per company. Attendees should bring a copy of the TORFP.

The pre-proposal conference will be summarized in writing. As promptly as is feasible subsequent to the pre-proposal conference, the attendance record and pre-proposal conference summary will be distributed via e-mail to all Master Contractors known to have received a copy of this TORFP.

In order to assure adequate seating and other accommodations at the pre-proposal conference, please e-mail the TO Procurement Officer indicating your planned attendance no later than three (3) business days prior to the pre-proposal conference. In addition, if there is a need for sign language interpretation and/or other reasonable accommodations due to a disability, please contact the TO Procurement Officer no later than five (5) business days prior to the pre-proposal conference.

## **1.8 CONFLICT OF INTEREST**

The TO Contractor shall provide IT technical and/or consulting services for State agencies or component programs with those agencies, and shall do so impartially and without any conflicts of interest. Each Offeror shall complete and include with its TO Proposal a Conflict of Interest Affidavit and Disclosure in the form included as Attachment 4 of this TORFP. If the TO Procurement Officer makes a determination that facts or circumstances exist that give rise to or could in the future give rise to a conflict of interest within the meaning of COMAR 21.05.08.08A, the TO Procurement Officer may reject an Offeror's TO Proposal under COMAR 21.06.02.03B.

Master Contractors should be aware that the State Ethics Law, Md. Code Ann., General Provisions Article, Title 5, might limit the selected Master Contractor's ability to participate in future related procurements, depending upon specific circumstances.

By submitting a Conflict of Interest Affidavit and Disclosure, the Offeror shall be construed as certifying all personnel and subcontractors are also without a conflict of interest as defined in COMAR 21.05.08.08A.

## **1.9 LIMITATION OF LIABILITY**

The TO Contractor's liability is limited in accordance with Section 27 of the CATS+ Master Contract. TO Contractor's liability under Section 27(c) of the CATS+ Master Contract for this TORFP is limited to one (1) times the total TO Agreement amount.

## **1.10 CHANGE ORDERS**

If the TO Contractor is required to perform work beyond the scope of Section 2 of this TORFP, or there is a work reduction due to unforeseen scope changes, a TO Change Order is required. The TO Contractor and TO Manager shall negotiate a mutually acceptable price modification based on the TO Contractor's proposed rates in the Master Contract and scope of the work change. No scope of work changes shall be performed until a change order is approved by DoIT and executed by the TO Procurement Officer.

## **1.11 TRAVEL REIMBURSEMENT**

Expenses for travel and other costs shall not be reimbursed.

## **1.12 MINORITY BUSINESS ENTERPRISE (MBE)**

This TORFP has MBE goals and sub-goals as stated in the Key Information Summary Sheet above.

## **1.13 VETERAN OWNED SMALL BUSINESS ENTERPRISE (VSBE)**

This TORFP has a VSBE goal as stated in the Key Information Summary Sheet above, representing the percentage of total fees paid for services under this Task Order.

## **1.14 NON-DISCLOSURE AGREEMENT**

### **1.14.1 NON-DISCLOSURE AGREEMENT (OFFEROR)**

Certain system documentation may be available for Master Contractors to review at a reading room at MIA's address as listed in the Key Information Summary Sheet. Master Contractors who review such documentation will be required to sign a Non-Disclosure Agreement (Offeror) in the form of Attachment 9. Please contact the TO Procurement Officer to schedule an appointment.

**1.14.2 NON-DISCLOSURE AGREEMENT (TO CONTRACTOR)**

Certain system documentation may be required by the TO in order to fulfill the requirements of the TO Agreement. The TO Contractor and TO Contractor Personnel who review such documents will be required to sign a Non-Disclosure Agreement (TO Contractor) in the form of Attachment 11.

**1.15 LIVING WAGE**

The Master Contractor shall abide by the Living Wage requirements under Title 18, State Finance and Procurement Article, Annotated Code of Maryland and the regulations proposed by the Commissioner of Labor and Industry.

All TO Proposals shall be accompanied by a completed Living Wage Affidavit of Agreement, Attachment 12 of this TORFP.

**1.16 IRANIAN NON-INVESTMENT**

All TO Proposals shall be accompanied by a completed Certification Regarding Investments in Iran, Attachment 15 of this TORFP.

**1.17 CONTRACT MANAGEMENT OVERSIGHT ACTIVITIES**

DoIT is responsible for contract management oversight on the CATS+ Master Contract. As part of that oversight, DoIT has implemented a process for self-reporting contract management activities of TOs under CATS+. This process typically applies to active TOs for operations and maintenance services valued at \$1 million or greater, but all CATS+ TOs are subject to review.

Attachment 11 is a sample of the TO Contractor Self-Reporting Checklist. DoIT may send initial checklists out to applicable/selected TO Contractors approximately three months after the award date for a TO. The TO Contractor shall complete and return the checklist as instructed on the form. Subsequently, at six month intervals from the due date on the initial checklist, the TO Contractor shall update and resend the checklist to DoIT.

**1.18 MERCURY AND PRODUCTS THAT CONTAIN MERCURY**

THIS SECTION IS NOT APPLICABLE TO THIS TORFP.

**1.19 PURCHASING AND RECYCLING ELECTRONIC PRODUCTS**

THIS SECTION IS NOT APPLICABLE TO THIS TORFP.

**1.20 DEFINITIONS**

Access	An ability or means to read, write, modify, or communicate data/information or otherwise use any information system resource
Business Day	Monday through Friday (excluding State holidays)
HIPAA	The Health Insurance Portability and Accountability Act
Information System	A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.



Information Technology (IT)	All electronic information-processing hardware and software, including: (a) maintenance; (b) telecommunications; and (c) associated consulting services
IPS/ IDS System	Intrusion Prevention System/ Intrusion Detection System
Local Time	Time in the Eastern Time zone as observed by the State of Maryland. Unless otherwise specified, all stated times shall be Local Time, even if not expressly designated as such
NAIC	The National Association of Insurance Commissioners.
NIST	The National Institute of Standards and Technology.
Normal State Business Hours	Normal State business hours are 8:00 a.m. – 5:00 p.m. Monday through Friday except State Holidays, which can be found at: <a href="http://www.dbm.maryland.gov">www.dbm.maryland.gov</a> – keyword: State Holidays.
Notice to Proceed (NTP)	A written notice from the TO Procurement Officer that work on the Task Order, project or Work Order shall begin on a specified date. Additional NTPs may be issued by either the TO Procurement Officer or the TO Manager regarding the start date for any service included within this solicitation with a delayed or non-specified implementation date.
NTP Date	The date specified in an NTP for work on the Task Order, project or Work Order to begin.
Offeror	A Master Contractor that submits a proposal in response to this TORFP.
Personally Identifiable Information (PII)	Any information about an individual maintained by the State, including (1) any information that can be used to distinguish or trace an individual’s identity, such as name, social security number, date and place of birth, mother’s maiden name, or biometric records; and (2) any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information
Protected Health Information (PHI)	Information that relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and (i) that identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.
Security Incident	A violation or imminent threat of violation of computer security policies, Security Measures, acceptable use policies, or standard security practices. “Imminent threat of violation” is a situation in which the organization has a factual basis for believing that a specific incident is about to occur.

Security or Security Measures	The technology, policy and procedures that a) protect and b) control access to networks, systems, and data.
Sensitive Data	Means PII; PHI; information about an individual that (1) can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; (2) is linked or linkable to an individual, such as medical, educational, financial, and employment information; or other proprietary or confidential data as defined by the State, including but not limited to "personal information" under Md. Code Ann., Commercial Law § 14-3501(d) and Md. Code Ann., St. Fin. & Proc. § 10-1301(c).
State	The State of Maryland.
Subcontractor	An agent, service provider, supplier, or vendor selected by the TO Contractor to provide subcontracted services or products under the direction of the TO Contractor or other Subcontractors, and including any direct or indirect Subcontractors of a Subcontractor. Subcontractors are subject to the same terms and conditions as the TO Contractor.
Task Order (TO)	The scope of work described in this TORFP.
Task Order Agreement	The contract awarded to the successful Offeror pursuant to this Task Order Request for Proposals, the form of which is attached to this TORFP as Attachment 3.
TO Proposal	As appropriate, either or both an Offeror's Technical or Financial Proposal to this TORFP.
TO Request for Proposals (TORFP)	This Task Order Request for Proposal, including any amendments / addenda thereto.
Total Contract Firm Fixed Price	The Offeror's total proposed price for products/services proposed in response to this solicitation, included in the TO Price Sheet, and used in the financial evaluation of TO Proposals.
Veteran-owned Small Business Enterprise (VSBE)	A business that is verified by the Center for Verification and Evaluation (CVE) of the United States Department of Veterans Affairs as a veteran-owned small business. See Code of Maryland Regulations (COMAR) 21.11.13 and <a href="http://www.vetbiz.gov">http://www.vetbiz.gov</a> .
Work Order	A subset of work authorized by the TO Manager performed under the general scope of this TORFP, which is defined in advance of fulfillment, and which may not require a change order. Except as otherwise provided, any reference to the TO shall be deemed to include reference to a Work Order.
Working Day(s)	Same as "Business Day"

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## **SECTION 2 - SCOPE OF WORK**

### **2.1 PURPOSE**

The MIA is issuing this CATS+ TORFP to obtain cyber security consulting services to include a security and compliance assessment based on industry best practices, security vulnerability and penetration tests, a network assessment, incident response plans and recommendations on security improvements to mitigate cyber security risks for the MIA.

All security vulnerability and penetration tests that have the potential to impact MIA business operations will need to be performed during non-business hours. Security vulnerability and penetration tests will need to be scheduled with the MIA in advance.

For the option years, if executed, MIA will identify each desired deliverable and by exercising one or more options with an NTP to the TO Contractor to perform the work.

The MIA intends to award this Task Order (TO) to one (1) Master Contractor that can best satisfy the requirements defined in Section 2.6 of this TORFP.

### **2.2 AGENCY BACKGROUND**

The MIA is an independent State Agency that regulates Maryland's Insurance Industry and protects consumers by ensuring that insurance companies and health plans act in accordance with insurance laws.

#### **2.2.1 BUSINESS FUNCTIONS**

The MIA implements laws and develops policies, procedures, and regulations that affect Maryland's insurance industry. The MIA's vision is a State with competitive, stable, and viable insurance markets in which insurance consumers are treated fairly. To achieve this vision, the MIA conducts the following insurance regulatory activities:

- a. Investigates consumer complaints
- b. Conducts financial examinations and audits on insurers
- c. Issues producer (agent and broker) licenses
- d. Licenses insurance companies
- e. Performs rate and form reviews
- f. Performs market conduct examinations
- g. Investigates insurance fraud
- h. Collects fees and fines as mandated by insurance law

#### **2.2.2 PROJECT BACKGROUND**

The MIA's computing infrastructure is redundant and highly available, secured with firewalls, a web application firewall, reverse proxies, an Intrusion Protection System / Intrusion Detection system( IPS/IDS) system, web security appliances, anti-virus software and anti-malware device appliances. The State has conducted web application penetration tests on some of the Agency web applications, but MIA is undertaking this project to conduct a more thorough assessment of cyber security vulnerabilities and is seeking a consultant to make recommendations about how to mitigate these risks.

### **2.3 PROFESSIONAL DEVELOPMENT**

Any TO Personnel provided under this TORFP shall maintain any required professional certifications for the duration of the resulting TO.

### **2.4 REQUIRED POLICIES, GUIDELINES AND METHODOLOGIES**

The TO Contractor shall comply with all applicable laws, regulations, policies, standards, and guidelines affecting information technology and technology projects, which may be created or changed periodically.

The TO Contractor shall adhere to and remain abreast of current, new, and revised laws, regulations, policies, standards and guidelines affecting security and technology project execution.

The foregoing may include, but are not limited to, the following policies, guidelines and methodologies that can be found at the DoIT site

(<http://doit.maryland.gov/policies/Pages/ContractPolicies.aspx>).

- A. The State of Maryland System Development Life Cycle (SDLC) methodology
- B. The State of Maryland Information Technology Security Policy and Standards
- C. The State of Maryland Information Technology Non-Visual Access Standards
- D. The TO Contractor shall follow project management methodologies consistent with the Project Management Institute's Project Management Body of Knowledge Guide.
- E. TO Contractor assigned personnel shall follow a consistent methodology for all TO activities.
- F. The State's Information Technology Project Oversight Policies for any work performed under this TORFP for one or more Major IT Development Projects (MITDPs)
- G. The MIA's Information Technology Security Policy, which is attached to this TORFP as Attachment 18

### **2.5 TO CONTRACTOR RESPONSIBILITIES**

The TO Contractor shall provide staffing, testing equipment and scanning tools to fully supply the security services identified in Section 2.6 of the TORFP.

The TO Contractor shall propose exactly three (3) Key Personnel. MIA expects the three (3) Key Personnel to be available as of the start date specified in the Notice To Proceed (NTP).

Resources furnished for security penetration testing shall have skills and certifications in security.

### **2.6 REQUIREMENTS**

The following are specific requirements for this TO (fixed price). As mentioned in Section 2.1, each deliverable described is a separate option that may be exercised by MIA during the TO option periods:

#### **A) Security Assessment**

1. Review existing State and MIA security policies, procedures and infrastructure;
2. Provide documentation on industry best practices for security policies, procedures and infrastructure related to information security;
3. Assess MIA security policies, procedures and infrastructure against industry best practices and document deficiencies;
4. Provide recommendations to mitigate deficiencies with MIA security policies, procedures and infrastructure.

## **B) External Systems Test**

1. Conduct vulnerability scanning and validation against Internet-accessible IP addresses;
2. Examine externally accessible equipment for vulnerability both from inside and outside (Internet) the tested network;
3. Check network and server equipment versions and configurations;
4. Provide documentation on test results and identify deficiencies;
5. Provide recommendations to mitigate deficiencies and risks.

## **C) Internal System / Network Test**

1. Conduct vulnerability scanning and validation against internal IP address ranges and configuration review of all internal systems;
2. Examine equipment and systems for vulnerabilities;
3. Check network and server equipment versions and configurations;
4. Test the network traffic for unencrypted or decrypt-able passwords and accounts;
5. Provide documentation on test results and identify deficiencies;
6. Provide recommendations to mitigate deficiencies and risks.

## **D) Computer Systems and Software Test**

1. Conduct analysis of Internet traffic to determine if any internal hosts have been compromised;
2. Examine equipment and systems for vulnerabilities;
3. Check Operating System Configuration and software version (Windows and SUSE Linux);
4. Test systems for malware (virus, Trojan, spyware);
5. Check the privileges and user directory configuration (Active Directory and eDirectory);
6. Check security of passwords (Windows & Linux);
7. Provide documentation on test results and identify deficiencies;
8. Provide recommendations to mitigate deficiencies and risks.

## **E) Penetration Testing**

1. Conduct activities designed to emulate an actual attack and attempt to access and obtain organizational data;
2. Collect information gathered during penetration test and provide documentation on test results and deficiencies;
3. Provide recommendations of ways that security could be improved where vulnerabilities were identified.

## **K) Risk Report**

1. Executive summary of the following:
  - a. All Assessments conducted

- b. All Tests conducted
- c. Significant Risks and deficiencies found
- d. Recommendations to mitigate deficiencies and risks

### **2.6.1 PROJECT START-UP REQUIREMENTS**

A project kick-off meeting shall be held within 60 business days of NTP. TO Contractor shall provide the following at the kick-off meeting:

- A. A project plan that includes a work schedule with start and end dates for all major tasks;
- B. A timeline for status reports and ongoing meetings with the MIA project team;
- C. A proposed change control process to coordinate change requests with the TO Manager;
- D. An updated staffing plan with resource names;
- E. Status of background checks for all proposed personnel and a written plan to complete all background checks within 45 business days of the NTP.

### **2.6.2 TRANSITION-OUT REQUIREMENTS**

To ensure effective and efficient end-of contract transition to the State or another State Contractor(s), the TO Contractor shall conduct a project debrief meeting with the TO Manager and hand-off final versions of project materials, documentation, electronic media, reports and any other technical material applicable to the project.

The TO Contractor shall also ensure that all deliverables are noted as final copy and provided in electronic format to the TO Manager.

## **2.7 PERFORMANCE AND PERSONNEL**

### **2.7.1 WORK HOURS**

- A. Business Hours Support: The TO Contractor's collective assigned personnel shall support core business hours (8:00 AM to 5:00 PM), Monday through Friday except for State holidays, Service Reduction days, and Furlough days observed by MIA. TO Contractor Personnel may also be required to provide requirements support outside of core business hours, including evenings, overnight, and weekends, to support specific efforts as defined in this TO.

### **2.7.2 DIRECTED PERSONNEL REPLACEMENT**

- A. The TO Manager may direct the TO Contractor to replace any TO Contractor Personnel who, in the sole discretion of the TO Manager, are perceived as being unqualified, non-productive, unable to fully perform the job duties, disruptive, or known, or reasonably believed, to have committed a major infraction(s) of law or Department, Contract, or Task Order requirement.
- B. If deemed appropriate in the discretion of the TO Manager, the TO Manager shall give written notice of any TO Contractor Personnel performance issues to the TO Contractor, describing the problem and delineating the remediation requirement(s). The TO Contractor shall provide a written Remediation Plan within three (3) days of the date of the notice. If

the TO Manager rejects the Remediation Plan, the TO Contractor shall revise and resubmit the plan to the TO Manager within five (5) days of the rejection, or in the timeframe set forth by the TO Manager in writing. Once a Remediation Plan has been accepted in writing by the TO Manager, the TO Contractor shall immediately implement the Remediation Plan.

- C. Should performance issues persist despite the approved Remediation Plan, the TO Manager will give written notice of the continuing performance issues and either request a new Remediation Plan within a specified time limit or direct the removal and replacement of the TO Contractor Personnel whose performance is at issue. A request for a new Remediation Plan will follow the procedure described in Section 2.7.2B.
- D. In circumstances of directed removal, the TO Contractor shall provide a suitable replacement for TO Manager approval within fifteen (15) days of the date of the notification of directed removal, or the actual removal, whichever occurs first, or such earlier time as directed by the TO Manager in the event of a removal on less than fifteen days' notice
- E. Normally, a directed personnel replacement will occur only after prior notification of problems with requested remediation, as described above. However, the TO Manager reserves the right to direct immediate personnel replacement without utilizing the remediation procedure described above.
- F. Replacement or substitution of TO Contractor Personnel under this section shall be in addition to, and not in lieu of, the State's remedies under the Task Order or which otherwise may be available at law or in equity.

### **2.7.3 SUBSTITUTION OF PERSONNEL**

#### **2.7.3.1 PRIOR TO AND UP TO 30 DAYS AFTER TASK ORDER EXECUTION**

Prior to Task Order Execution or within thirty (30) days after Task Order Execution, the Offeror may substitute proposed Key Personnel only under the following circumstances: vacancy occurs due to the sudden termination, resignation, or approved leave of absence due to an Extraordinary Personnel Event, or death of such personnel. To qualify for such substitution, the Offeror must describe to the State's satisfaction the event necessitating substitution and must demonstrate that the originally proposed personnel are actual full-time direct employees with the Offeror (subcontractors, temporary staff or 1099 contractors do not qualify). Proposed substitutions shall be of equal caliber or higher, in the State's sole discretion. Proposed substitutes deemed by the State to be less qualified than the originally proposed individual may be grounds for pre-award disqualification or post-award termination.

**An Extraordinary Personnel Event** – means Leave under the Family Medical Leave Act; an incapacitating injury or incapacitating illness; or other circumstances that in the sole discretion of the State warrant an extended leave of absence, such as extended jury duty or extended military service.

#### **2.7.3.2 SUBSTITUTION POST-30 DAYS AFTER TASK ORDER EXECUTION**

The procedure for substituting personnel after Task Order execution is as follows:



The substitution of Key Personnel during the evaluation period, prior to award, is prohibited. Substitutions of any kind, post proposal due date, but prior to award, is considered to be the equivalent of an alternate proposal, and is prohibited.

The procedure for substituting personnel after award is as follows:

- A) The TO Contractor may not substitute personnel without the prior approval of the TO Manager.
- B) To replace any personnel, the TO Contractor shall submit resumes of the proposed individual specifying the intended approved labor category. Any proposed substitute personnel shall have qualifications equal to or better than those of the replaced personnel.
- C) Proposed substitute individual shall be approved by the TO Manager. The TO Manager shall have the option to interview the proposed substitute personnel and may require that such interviews be in person. After the interview, the TO Manager shall notify the TO Contractor of acceptance or denial of the requested substitution. If no acceptable substitute personnel is proposed within the time frame established by the TO Manager, the TO Agreement may be cancelled.

#### **2.7.4 PREMISES AND OPERATIONAL SECURITY**

- A) TO Contractor Personnel may be subject to random security checks during entry and exit of State secured areas. The State reserves the right to require TO Contractor Personnel to be accompanied while on secured premises.
- B) TO Contractor Personnel shall, while on State premises, display their State issued identification cards without exception.
- C) TO Contractor Personnel shall follow the State of Maryland MIA Security Policy and Standards throughout the term of the TO Agreement.
- D) The State reserves the right to request that the TO Contractor submit proof of employment authorization for non-United States citizens, prior to commencement of TO Contractor Personnel work under the Task Order.
- E) TO Contractor shall remove any TO Contractor Personnel from working on the resulting TO Agreement where the State of Maryland determines that said TO Contractor Personnel has not adhered to the security requirements specified herein.
- F) The cost of complying with all security requirements specified herein are the sole responsibility and obligations of the TO Contractor and its subcontractors and no such costs shall be passed through to or reimbursed by the State or any of its agencies or units.
- G) TO Contractor shall complete a criminal background check prior to any individual TO Contractor Personnel being assigned work on the project. TO Contractor shall provide a Criminal Background Check Affidavit; Attachment 17, within 45 Business Days of the NTP.

#### **2.8 DELIVERABLES**

MIA is expecting documentation detailing results of the TO Contractors security assessments and vulnerability tests. A final risk report summarizing the vulnerabilities found and recommendations to

resolve security risks is also expected. The vulnerabilities are to be categorized as low, medium, high or critical, and recommendations shall be detailed and specific so that the MIA could move forward with implementation of recommendations at the conclusion of the TO.

### **2.8.1 DELIVERABLE SUBMISSION**

For every deliverable the TO Contractor shall request that the TO Manager confirm receipt of that deliverable by sending an e-mail identifying the deliverable name and date of receipt.

Unless specified otherwise, written deliverables shall be compatible with Microsoft Office, Microsoft Project and/or Microsoft Visio versions 2007 or later. At the TO Manager's discretion, the TO Manager may request one hard copy of a written deliverable.

A standard deliverable review cycle will be elaborated and agreed-upon between the State and the TO Contractor. This review process is entered into when the TO Contractor completes a deliverable.

For any written deliverable, the TO Manager may request a draft version of the deliverable, to comply with the minimum deliverable quality criteria listed in Section 2.8.3. Drafts of each final deliverable, except status reports, are required at least two (2) weeks in advance of when the final deliverables are due (with the exception of deliverables due at the beginning of the project where this lead time is not possible, or where draft delivery date is explicitly specified). Draft versions of a deliverable shall comply with the minimum deliverable quality criteria listed in Section 2.8.3.

### **2.8.2 DELIVERABLE ACCEPTANCE**

A final deliverable shall satisfy the scope and requirements of this TORFP for that deliverable, including the quality and acceptance criteria for a final deliverable as defined in Section 2.8.4 Deliverable Descriptions/Acceptance Criteria.

The TO Manager shall review a final deliverable to determine compliance with the acceptance criteria as defined for that deliverable. The TO Manager is responsible for coordinating comments and input from various team members and stakeholders. The TO Manager is responsible for providing clear guidance and direction to the TO Contractor in the event of divergent feedback from various team members.

TO Manager will issue to the TO Contractor a notice of acceptance or rejection of the deliverable in the DPAF (Attachment 8). Following the return of the DPAF indicating "Accepted" and signed by the TO Manager, the TO Contractor shall submit a proper invoice in accordance with the procedures in Section 2.13.

In the event of rejection of a deliverable the TO Manager will formally communicate in writing any deliverable deficiencies or non-conformities to the TO Contractor, describing in those deficiencies what shall be corrected prior to acceptance of the deliverable in sufficient detail for the TO Contractor to address the deficiencies. The TO Contractor shall correct deficiencies and resubmit the corrected deliverable for acceptance within the agreed-upon time period for correction.

### **2.8.3 MINIMUM DELIVERABLE QUALITY**

The TO Contractor shall subject each deliverable to its internal quality-control process prior to submitting the deliverable to the State.

Each deliverable shall meet the following minimum acceptance criteria:

- A) Be presented in a format appropriate for the subject matter and depth of discussion.

- B) Be organized in a manner that presents a logical flow of the deliverable’s content.
- C) Represent factual information reasonably expected to have been known at the time of submittal.
- D) In each section of the deliverable, include only information relevant to that section of the deliverable.
- E) Contain content and presentation consistent with industry best practices in terms of deliverable completeness, clarity, and quality.
- F) Meets the acceptance criteria applicable to that deliverable, including any State policies, functional or non-functional requirements, or industry standards.
- G) Contains no structural errors such as poor grammar, misspellings or incorrect punctuation.

A draft written deliverable may contain limited structural errors such as incorrect punctuation, and shall represent a significant level of completeness toward the associated final written deliverable. The draft written deliverable shall otherwise comply with minimum deliverable quality criteria above.

**2.8.4 DELIVERABLE DESCRIPTIONS / ACCEPTANCE CRITERIA**

The TO Contractor may suggest other subtasks, artifacts, or deliverables to improve the quality and success of the assigned tasks.

ID #	Deliverable Description	Acceptance Criteria	Due Date / Frequency
2.8.4.1	Project Schedule	<p>In Microsoft Project format, the Project Schedule shall include:</p> <ul style="list-style-type: none"> <li>A. Tasks, start and end dates;</li> <li>B. Task duration;</li> <li>C. Resource assignments;</li> <li>D. Percentage complete per task;</li> <li>E. Due dates for each project deliverable</li> </ul> <p>Project Schedule updates shall be included in weekly status reports to the TO Manager on a continuing basis, until work is completed to the satisfaction of the TO Manager.</p>	Due within 2 weeks of Project Kick-off meeting
2.8.4.2	Security Assessment	<p>In Microsoft Word format, the Security Policy Assessment shall include:</p> <ul style="list-style-type: none"> <li>A. Industry best practices for security policies, procedures and infrastructure;</li> <li>B. MIA deficiencies against industry best practices;</li> </ul>	Deliverable due as determined by the Approved Project Schedule

ID #	Deliverable Description	Acceptance Criteria	Due Date / Frequency
		C. Recommendations to mitigate MIA deficiencies.	

2.8.4.3	External Systems Test	In Microsoft Word format the External Systems Test shall include: A. Test plan and expected results; B. Actual test results and implications; C. Recommendations to mitigate deficiencies and risks.	Deliverable due as determined by the Approved Project Schedule
2.8.4.4	Internal System / Network Test	In Microsoft Word format the Internal System and Network Test shall include: A. Test plan and expected results; B. Actual test results and implications; C. Recommendations to mitigate deficiencies and risks.	Deliverable due as determined by the Approved Project Schedule
2.8.4.5	Computer System and Software Test	In Microsoft Word format the Computer System and Software Test shall include: A. Test plan and expected results; B. Actual test results and implications; C. Recommendations to mitigate deficiencies and risks.	Deliverable due as determined by the Approved Project Schedule
2.8.4.6	Penetration Test	In Microsoft Word format the Penetration Test shall include: A. Test plan and expected results; B. Actual test results and implications; C. Recommendations to mitigate deficiencies and risks.	Deliverable due as determined by the Approved Project Schedule
2.8.4.7	Risk Report	In Microsoft PowerPoint	Deliverable due as

		format the Risk Report shall include: A. Executive Summary of all Assessments conducted; B. Executive Summary of all Tests conducted; C. Significant risks and deficiencies found; D. Recommendations to mitigate deficiencies and risks.	determined by the Approved Project Schedule
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**2.9 MINIMUM QUALIFICATIONS**

**2.9.1 OFFEROR’S COMPANY MINIMUM QUALIFICATIONS**

Only those Master Contractors that fully meet all minimum qualification criteria shall be eligible for TORFP proposal evaluation. The Master Contractor’s proposal and references will be used to verify minimum qualifications.

The Master Contractor’s proposal shall demonstrate meeting the following minimum requirements:

- 1) At least five (5) years of demonstrated experience conducting cyber security assessments for U.S. based commercial or government entities with at least 1,000 concurrent end users.

~~2) InfoSec Assessment Methodology (IAM) Certification.~~

~~3) Cisco Master Security Specialized Partner Certification.~~

4)2) At least three (3) references from other government or commercial organizations where similar services have been provided within the last three (3) years. These services shall have been, at minimum, satisfactorily performed by the Offeror, as confirmed by the reference checks.

5)3) At least one (1) proposed Key Personnel shall hold at least one (1) of the following certifications:

- A. CISSP (Certified Information Systems Security Professional); or
- B. SSCP (Systems Security Certified Practitioner); or
- C. CCIE (Cisco Certified Internetworking Expert) Security; or
- D. Certified Ethical Hacker (CEH).

**2.9.2 OFFEROR’S PERSONNEL MINIMUM QUALIFICATIONS**

THIS SECTION IS NOT APPLICABLE TO THIS TORFP.

**2.10 TO CONTRACTOR AND PERSONNEL PREFERRED QUALIFICATIONS**

- A. Preference will be given to those Master Contractors who propose two (2) or more Key Personnel each holding one (1) or more of the following certifications:

- i. CISSP (Certified Information Systems Security Professional); or
- ii. SSCP (Systems Security Certified Practitioner); or
- iii. CCIE (Cisco Certified Internetworking Expert) Security; or
- iv. Certified Ethical Hacker (CEH).

i. InfoSec Assessment Methodology (IAM) Certification.

ii. Cisco Master Security Specialized Partner Certification.

## **2.11 RETAINAGE**

THIS SECTION IS NOT APPLICABLE TO THIS TORFP.

## **2.12 WORK ORDER PROCESS**

- A) Additional fixed price services will be provided via a Work Order process. The TO Manager shall e-mail a Work Order Request (See Attachment 16) to the TO Contractor to provide services or resources that are within the scope of this TORFP. The Work Order Request will include:
- 1) Technical requirements and description of the service or resources needed
  - 2) Performance objectives and/or deliverables, as applicable
  - 3) Due date and time for submitting a response to the request
  - 4) Required place(s) where work must be performed
- B) The TO Contractor shall e-mail a response to the TO Manager within the specified time and include at a minimum:
- 1) A response that details the TO Contractor's understanding of the work;
  - 2) A price to complete the Work Order Request using the format provided in Attachment 16;
  - 3) A description of proposed resources required to perform the requested tasks;
  - 4) An explanation of how tasks shall be completed. This description shall include proposed subcontractors and related tasks;
  - 5) State-furnished information, work site, and/or access to equipment, facilities, or personnel; and
  - 6) The proposed personnel resources, including any subcontractor personnel, to complete the task.
- C) For a fixed price Work Order, the TO Manager will review the response and will confirm the proposed prices are acceptable.
- D) The TO Manager may contact the TO Contractor to obtain additional information, clarification or revision to the Work Order, and will provide the Work Order to the TO Procurement Officer for a determination of compliance with the TO and a determination whether a change order is appropriate. Written TO Procurement Officer approval is required before Work Order execution by the State.
- E) Proposed personnel on any type of Work Order shall be approved by the TO Manager. The TO Contractor shall furnish resumes of proposed personnel. The TO Manager shall have the option to

interview the proposed personnel and, in the event of an interview or not, shall notify the TO Contractor of acceptance or denial of the personnel.

- F) Performance of services under a Work Order shall commence consistent with an NTP issued by the TO Manager for such Work Order.

### **2.13 INVOICING**

Invoice payments to the TO Contractor shall be governed by the terms and conditions defined in the CATS+ Master Contract.

Proper invoices for payment shall be submitted to the TO Manager for payment approval as described below. Invoices shall be submitted monthly.

#### **2.13.1 INVOICE SUBMISSION PROCEDURE**

A) Proper invoices for payment shall contain the TO Contractor's Federal Tax Identification Number, "MIA" as the recipient, date of invoice, TO Agreement number, invoiced item description, invoiced item number (e.g., "2.7.4.1."), period of performance covered by the invoice, a total invoice amount, and a TO Contractor point of contact with telephone number.

B) All invoices submitted for payment shall be accompanied by signed notice(s) of acceptance as described below. Payment of invoices will be withheld if the appropriate signed acceptance form documentation is not submitted.

a) To be considered a proper Fixed Price invoice (for Task Order requirements and for fixed price Work Orders issued under this Task Order) the TO Contractor shall include with the signed invoice a signed DPAF (Attachment 8) for each deliverable invoiced. Payment will only be made upon completion and acceptance of the deliverables as defined in Section 2.8.

b) The TO Contractor shall mail / e-mail the original of each invoice and signed notice(s) of acceptance to the TO Requesting Agency at e-mail address: [jessica.jeddry@maryland.gov](mailto:jessica.jeddry@maryland.gov) with a copy to the TO Manager.

C) Invoices for final payment shall be clearly marked as "FINAL" and submitted when all work requirements have been completed and no further charges are to be incurred under the TO Agreement. In no event shall any invoice be submitted later than 60 calendar days from the TO Agreement termination date.

#### **2.13.2 TIME SHEET SUBMISSION AND ACCEPTANCE**

THIS SECTION IS NOT APPLICABLE TO THIS TORFP.

### **2.14 SOC TYPE 2 AUDIT**

THIS SECTION IS NOT APPLICABLE TO THIS TORFP.

### **2.15 SECURITY REQUIREMENTS AND INCIDENT RESPONSE**

2.15.1 The Contractor agrees to abide by all applicable federal, State and local laws concerning information security and comply with current State and agency information security policy, currently found at <http://doit.maryland.gov/Publications/DoITSecurityPolicy.pdf>.

2.15.2. The Contractor agrees to notify the Agency when any Contractor system that may access, process, or store State data or work product is subject to unintended access or attack.

Unintended access or attack includes compromise by a computer malware, malicious search engine, credential compromise or access by an individual or automated program due to a failure to secure a system or adhere to established security procedures.

- 2.15.3. The Contractor further agrees to notify the Agency within twenty-four (24) hours of the discovery of the unintended access or attack by providing notice via written or electronic correspondence to the Contract Manager, Agency chief information officer and Agency chief information security officer.
- 2.15.4 The Contractor agrees to notify the Agency within two (2) hours if there is a threat to Contractor's product as it pertains to the use, disclosure, and security of the Agency's data.
- 2.15.5 If an unauthorized use or disclosure of any personally identifiable information (PII), protected health information (PHI) or other private/confidential data (collectively "Sensitive Data") occurs, the Contractor must provide written notice to the Agency within one (1) business day after Contractor's discovery of such use or disclosure and thereafter all information the State (or State Agency) requests concerning such unauthorized use or disclosure.
- 2.15.6. The Contractor shall, within one hour of discovery, shall report to the Agency any improper or non-authorized use or disclosure of Sensitive Data. Contractor's report shall identify:
- (a) the nature of the unauthorized use or disclosure;
  - (b) the Sensitive Data used or disclosed;
  - (c) who made the unauthorized use or received the unauthorized disclosure;
  - (d) what the Contractor has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure;
  - (e) what corrective action the Contractor has taken or shall take to prevent future similar unauthorized use or disclosure; and
  - (f) the Contractor shall provide such other information, including a written report, as reasonably requested by the State.
- 2.15.7 The Contractor agrees to comply with all applicable laws that require the notification of individuals in the event of unauthorized release of PII or other event requiring notification. In the event of a breach of any of the Contractor's security obligations or other event requiring notification under applicable law, the Contractor agrees to assume responsibility for informing all such individuals in accordance with applicable law and to indemnify, hold harmless and defend the State (or State Agency) and its officials and employees from and against any claims, damages, or other harm related to such security obligation breach or other event requiring the notification.
- 2.15.8. This Section shall survive expiration or termination of this TO Agreement.

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## **SECTION 3 - TASK ORDER PROPOSAL FORMAT AND SUBMISSION REQUIREMENTS**

### **3.1 REQUIRED RESPONSE**

Each Master Contractor receiving this CATS+ TORFP shall respond no later than the submission due date and time designated in the Key Information Summary Sheet. Each Master Contractor is required to submit one of two possible responses: 1) a TO Proposal; or 2) a completed Master Contractor Feedback Form. The feedback form helps the State understand for future contract development why Master Contractors did not submit proposals. The form is accessible via the CATS+ Master Contractor login screen and clicking on TORFP Feedback Response Form from the menu.

A TO Proposal shall conform to the requirements of this CATS+ TORFP.

### **3.2 SUBMISSION**

#### **3.2.1 E-MAIL SUBMISSION**

MIA strongly prefers TO Proposal submissions be made via e-mail. For TO Proposals submitted via email, the TO Technical Proposal shall be submitted in one or more separate e-mails from the TO Financial Proposal. This e-mail shall include:

- A. Subject line "CATS+ TORFP # D80B5400025 Technical" plus the Master Contractor Name
- B. One attachment labeled "TORFP D80B5400025 Technical - Attachments" containing all Technical Proposal Attachments (see Section 3.3 below), signed and in PDF format.
- C. One attachment labeled "TORFP D80B5400025 Technical – Proposal" in Microsoft Word format (2007 or later).

MIA can only accept e-mails that are less than or equal to 35 MB. If a submission exceeds this size, split the submission into two or more parts and include the appropriate part number in the subject (e.g., part 1 of 2) after the subject line information.

The TO Financial Proposal shall be contained in one e-mail containing as attachments all submission documents detailed in section 3.3.3, with password protection.

MIA will contact Offerors for the password to open each file. Each file shall be encrypted with the same password. The TO Procurement Officer will only contact those Offerors with TO Proposals that are reasonably susceptible for award. Offerors that are unable to provide a password that opens the TO Financial Proposal documents will be deemed not susceptible for award. Subsequent submissions of financial content will not be allowed. This e-mail shall include:

- A. Subject line "CATS+ TORFP # D80B5400025 Financial" plus the Master Contractor Name
- B. One attachment labeled "TORFP D80B5400025 Financial" containing the TO Financial Proposal contents, signed and in PDF format, MS Word (2007 or higher).

#### **3.2.2 PAPER SUBMISSION**

**MIA strongly desires TO Proposal submissions in e-mail format. An Offeror wishing to deliver a hard copy (paper) TO Proposal shall contact the TO Procurement Officer for instructions.**

### 3.3 SUMMARY OF ATTACHMENTS

No attachment forms shall be altered. Signatures shall be clearly visible.

The following signed attachments shall be included with the TO Technical Proposal in PDF format (for e-mail delivery). For paper submissions, submit two (2) copies of each with original signatures.

- A. Attachment 4 – Conflict of Interest Affidavit and Disclosure
- B. Attachment 5 - Personnel Resume Form
- C. Attachment 12 – Living Wage Affidavit of Agreement
- D. Attachment 15 - Certification Regarding Investments in Iran
- E. Attachment 18 - MIA Information Technology Policy

The following attachments shall be included with the TO Financial Proposal with password protection:

- A. Attachment 1 Price Sheet – Signed PDF

#### 3.3.1 PROPOSAL FORMAT

A TO Proposal shall contain the following sections in order:

#### 3.3.2 TO TECHNICAL PROPOSAL

**Important: A TO Technical Proposal shall include NO pricing information.**

- A) Proposed Services
  - 1) Executive Summary: A one-page summary describing the Offeror’s understanding of the TORFP scope of work (Section 2) and proposed solution.
  - 2) Proposed Solution: A more detailed description of the Offeror’s understanding of the TORFP scope of work, proposed methodology and solution. The proposed solution shall be organized to exactly match the requirements outlined in Section 2.
  - 3) Draft Transition-In Plan showing initial activities and dates for initiating activities on the TO.
  - 4) Draft Project or Work Schedule: A Gantt or similar chart containing tasks and estimated time frames for completing the requirements and deliverables in Section 2 - Scope of Work. The final schedule should come later as a deliverable under the TO after the TO Contractor has had an opportunity to develop realistic estimates. The Project or Work Schedule may include tasks to be performed by the State or third parties
  - 5) Draft Risk Assessment: Identification and prioritization of risks inherent in meeting the requirements in Section 2 - Scope of Work. Includes a description of strategies to mitigate risks. If the Risk Assessment appears as a deliverable in Section 2 – Scope of Work, that version will be a final version. Any subsequent versions should be approved through a formal configuration or change management process.
  - 6) Assumptions: A description of any assumptions formed by the Offeror in developing the TO Technical Proposal.
  - 7) Tools the Master Contractor owns and proposes for use to meet any requirements in Section 2.
- B) Compliance with Offeror’s Company Minimum Qualifications

Offerors will complete the following table to demonstrate compliance with the Offeror’s Company Minimum Requirements in Section 2.9.1.

Reference	Offeror Company Minimum Requirement	Evidence of Compliance
2.9.1.1	<p><del>6</del>4) _____ At least five (5) years of demonstrated experience conducting cyber security assessments for U.S. based commercial or government entities with at least 1,000 concurrent end users.</p> <p><del>7</del>5) _____ InfoSec Assessment Methodology (IAM) Certification.</p> <p><del>8</del>6) _____ Cisco Master Security Specialized Partner Certification.</p> <p><del>9</del>7) _____ At least three (3) references from other government or commercial organizations where similar services have been provided in the last three (3) years. These services shall have been, at minimum, satisfactorily performed by the Offeror, as confirmed by the reference checks.</p> <p><del>10</del>8) _____ At least one proposed Key Personnel shall hold at least one (1) of the following certifications:</p> <ul style="list-style-type: none"> <li>a) CISSP (Certified Information Systems Security Professional); or</li> <li>b) SSCP (Systems Security Certified Practitioner); or</li> <li>c) CCIE (Cisco Certified Internetworking Expert) Security; or</li> </ul>	<p>Offeror shall submit a detailed work history, copies of credentials and references.</p>

	d) Certified Ethical Hacker (CEH).	
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C) Proposed Personnel and TORFP Staffing

Offeror shall propose exactly three (3) Key Personnel in response to this TORFP. Offeror shall:

1) Complete and provide for each proposed personnel Attachment 5 Personnel Resume Form.

2) Provide evidence proposed personnel possess the required certifications in accordance with Section 2.9.1 Company Minimum Qualifications. If the Offeror provides proposed personnel with a specific certification then the Offeror must also provide an image of the proposed personnel's unexpired certificate.

3) Provide three (3) references per proposed Key Personnel containing the information listed in Attachment 5.

***Offerors may only propose up to three Key Personnel in response to this TORFP. All other planned positions shall be described generally in the Staffing Plan, and may not be used as evidence of fulfilling company or personnel minimum qualifications.***

4) Provide a Staffing Management Plan that demonstrates how the Offeror will provide resources in addition to the personnel requested in this TORFP, and how the TO Contractor Personnel shall be managed. Include:

a) Planned team composition by role (**Important! Identify specific names and provide history only for the proposed resources required for evaluation of this TORFP**).

b) Process and proposed lead time for locating and bringing on board resources that meet TO needs

c) Supporting descriptions for all labor categories proposed in response to this TORFP

d) Description of approach for quickly substituting qualified personnel after start of TO

5) Provide the names and titles of the Offeror's management staff who will supervise the personnel and quality of services rendered under this TO Agreement.

D) MBE, SBE Participation and VSBE Participation

THIS SECTION IS NOT APPLICABLE TO THIS TORFP.

E) Subcontractors

Identify all proposed subcontractors, including MBEs, and their roles in the performance of Section 3 - Scope of Work.

F) Overall Offeror team organizational chart

Provide an overall team organizational chart with all team resources available to fulfill the TO scope of work.

G) Master Contractor and Subcontractor Experience and Capabilities

1. Provide up to three examples of engagements or contracts the Master Contractor, or subcontractor, if applicable has completed that were similar to Section 2 - Scope of Work. Include contact information for each client organization complete with the following:

a) Name of organization.

- b) Point of contact name, title, e-mail and telephone number (point of contact shall be accessible and knowledgeable regarding experience)
  - c) Services provided as they relate to Section 2 - Scope of Work.
  - d) Start and end dates for each example engagement or contract.
  - e) Current Master Contractor team personnel who participated on the engagement.
  - f) If the Master Contractor is no longer providing the services, explain why not.
- 2) State of Maryland Experience: If applicable, the Master Contractor shall submit a list of all contracts it currently holds or has held within the past five years with any entity of the State of Maryland.

For each identified contract, the Master Contractor shall provide the following (if not already provided in sub paragraph 1 above):

- a) Contract or task order name
- b) Name of organization.
- c) Point of contact name, title, e-mail, and telephone number (point of contact shall be accessible and knowledgeable regarding experience)
- d) Start and end dates for each engagement or contract. If the Master Contractor is no longer providing the services, explain why not.
- e) Dollar value of the contract.
- f) Indicate if the contract was terminated before the original expiration date.
- g) Indicate if any renewal options were not exercised.

Note - State of Maryland experience can be included as part of Section 2 above as engagement or contract experience. State of Maryland experience is neither required nor given more weight in proposal evaluations.

#### H) State Assistance

Provide an estimate of expectation concerning participation by State personnel.

#### I) Confidentiality

A Master Contractor should give specific attention to the identification of those portions of its proposal that it considers confidential, proprietary commercial information or trade secrets, and provide justification why such materials, upon request, should not be disclosed by the State under the Public Information Act, Title 4, of the General Provisions Article of the Annotated Code of Maryland. Master Contractors are advised that, upon request for this information from a third party, the TO Procurement Officer will be required to make an independent determination regarding whether the information may be disclosed.

Offeror shall furnish a list that identifies each section of the TO Technical Proposal where, in the Offeror's opinion, the Offeror's response should not be disclosed by the State under the Public Information Act.

Offers shall be valid for a period of 120 days unless extended by the Offeror in writing upon request by the MIA.

### **3.3.3 TO FINANCIAL PROPOSAL**

- A) A description of any assumptions on which the Master Contractor's TO Financial Proposal is based (Assumptions shall not constitute conditions, contingencies, or exceptions to the Price Sheet).
- B) The Total Contract Firm Fixed Price is the sum of all the prices for each deliverable listed on the Price Sheet found in Attachment 1. That Firm Fixed Price is all inclusive and is not subject to adjustment or variation in Contractor's costs to perform the specified services. If a Price Sheet is incomplete, inaccurate or has been altered, the Master Contractor's Task Order Proposal may be rejected.
- C) Prices shall be valid for 120 days unless extended by the Offeror in writing upon request of the MIA.

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## **SECTION 4 - TASK ORDER AWARD PROCESS**

### **4.1 OVERVIEW**

The TO Contractor will be selected from among all eligible Master Contractors within the appropriate Functional Area responding to the CATS+ TORFP. In making the TO Agreement award determination, the TO Requesting Agency will consider all information submitted in accordance with Section 3.

### **4.2 TO PROPOSAL EVALUATION CRITERIA**

The following are technical criteria for evaluating a TO Proposal in descending order of importance. Failure to meet the minimum qualifications shall render a TO Proposal not reasonably susceptible for award:

- A) The overall experience, capability and references for the Master Contractor as described in the Master Contractor's TO Technical Proposal.
- B) The Master Contractor's overall understanding of the TORFP Scope of Work – Section 2. Level of understanding will be determined by the quality and accuracy of the technical proposal in adherence with Section 3.4.
- C) The capability of the proposed resources to perform the required tasks and produce the required deliverables in the TORFP Scope of Work – Section 2. Capability will be determined from each proposed individual's resume, reference checks, and oral presentation (See Section 1.5 Oral Presentations/Interviews). A Master Contractor who proposes two (2) or more Key Personnel with one or more of the required certifications (CISSP, CCIE Security, or Certified Ethical Hacker (CEH)) will be ranked higher than if the Master Contractor proposed only one such Key Personnel.
- D) The ability for the Master Contractor to meet staffing expectations relative to supplying additional personnel for this TORFP meeting qualifications in Section 2.9 and 2.10.

### **4.3 SELECTION PROCEDURES**

- A) TO Proposals will be assessed throughout the evaluation process for compliance with the qualifications listed in Section 2 of this TORFP, and quality of responses to Section 3.4.1 TO Technical Proposal.
- B) For all TO Proposals deemed technically qualified, interviews of proposed personnel will be performed.
- C) For TO Proposals deemed technically qualified, the associated TO Financial Proposal will be opened. All others will be deemed not reasonably susceptible for award and the TO Procurement Officer will notify the Master Contractor it has not been selected to perform the work.
- D) Qualified TO Financial Proposal responses will be reviewed and ranked from lowest to highest price proposed.
- E) The most advantageous TO Proposal considering both the technical and financial submissions shall be selected for TO award. In making this selection, technical and financial submissions shall have equal weight.
- F) All Master Contractors submitting a TO Proposal shall receive written notice from the TO Procurement Officer identifying the awardee.

#### **4.4 COMMENCEMENT OF WORK UNDER A TO AGREEMENT**

Commencement of work in response to a TO Agreement shall be initiated only upon:

- A. Issuance of a fully executed TO Agreement,
- B. Non-Disclosure Agreement (TO Contractor),
- C. Purchase Order,
- D. By a Notice to Proceed (NTP) authorized by the TO Procurement Officer. See Attachment 7 - Notice to Proceed (sample), and
- E. Criminal Background Check Affidavit

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## LIST OF ATTACHMENTS

<b>Attachment Label</b>	<b>Attachment Name</b>	<b>Applicable to this TORFP?</b>	<b>Submit with Proposal?*</b> <b>(Submit, Do Not Submit, N/A)</b>
Attachment 1	Price Sheet	Applicable	Submit with TO Financial Proposal with password protection
Attachment 2	Minority Business Enterprise Participation (Attachments 1A – 5)	<i>Not Applicable</i>	<i>N/A</i>
Attachment 3	Task Order Agreement (TO Agreement)	Applicable	Do Not Submit with Proposal
Attachment 4	Conflict of Interest Affidavit and Disclosure	Applicable	Submit with TO Technical Proposal
Attachment 5	Labor Classification Personnel Resume Summary	Applicable	Submit with TO Technical Proposal
Attachment 6	Pre-Proposal Conference Directions & Response Form	Applicable	Submit as instructed
Attachment 7	Notice to Proceed (Sample)	Applicable	Do Not Submit with Proposal
Attachment 8	Agency Deliverable Product Acceptance Form (DPAF)	Applicable	Do Not Submit with Proposal
Attachment 9	Non-Disclosure Agreement (Offeror)	Applicable	Do Not Submit with Proposal
Attachment 10	Non-Disclosure Agreement (TO Contractor)	Applicable	Do Not Submit with Proposal
Attachment 11	TO Contractor Self-Reporting Checklist	Applicable	Do Not Submit with Proposal
Attachment 12	Living Wage Affidavit of Agreement	Applicable	Submit with TO Technical Proposal
Attachment 13	Mercury Affidavit	<i>Not Applicable</i>	<i>N/A</i>
Attachment 14	Veteran Owned Small Business Enterprise Utilization Affidavit	<i>Not Applicable</i>	<i>N/A</i>
Attachment 15	Certification Regarding Investments in Iran	Applicable	Submit with TO Technical Proposal
Attachment 16	Sample Work Order	Applicable	Do Not Submit with Proposal
Attachment 17	Criminal Background Check Affidavit	Applicable	Do Not Submit with Proposal
Attachment 18	MIA Information Technology Security Policy	Applicable	Do Not Submit with Proposal

\*if not specified in submission instructions, any attachment submitted with response shall be in PDF format and signed

## ATTACHMENT 1 PRICE SHEET

### PRICE SHEET (FIXED PRICE) FOR CATS+ TORFP # MIA-15-010

The Total Contract Firm Fixed Price is the sum of all the prices for each deliverable listed on the Price Sheet found in Attachment 1. That Firm Fixed Price is all inclusive and is not subject to adjustment or variation in Contractor's costs to perform the specified services. If a Price Sheet is incomplete, inaccurate or has been altered, the Master Contractor's Task Order Proposal may be rejected.

Identification	Deliverable	Firm Fixed Price
2.8.4.1	Project Schedule	\$
2.8.4.2	Security Assessment	\$
2.8.4.3	External Systems Test	\$
2.8.4.4	Internal System and Network Test	\$
2.8.4.5	Computer System and Software Test	\$
2.8.4.6	Penetration Test	\$
2.8.4.7	Risk Report	\$
<b>Contract Price For Base Year</b>		<b>\$</b>

Each Deliverable below is a separate optional item.

Identification	Deliverable	Firm Fixed Price
2.8.4.1	Project Schedule	\$
2.8.4.2	Security Assessment	\$
2.8.4.3	External Systems Test	\$
2.8.4.4	Internal System and Network Test	\$
2.8.4.5	Computer System and Software Test	\$
2.8.4.6	Penetration Test	\$
2.8.4.7	Risk Report	\$
<b>Contract Price For Option Year 1</b>		<b>\$</b>

Each Deliverable below is a separate optional item.

Identification	Deliverable	Firm Fixed Price

2.8.4.1	Project Schedule	\$
2.8.4.2	Security Assessment	\$
2.8.4.3	External Systems Test	\$
2.8.4.4	Internal System and Network Test	\$
2.8.4.5	Computer System and Software Test	\$
2.8.4.6	Penetration Test	\$
2.8.4.7	Risk Report	\$
<b>Contract Price For Option Year 2</b>		<b>\$</b>

**Summary Table**

<b>Contract Price For Base Year</b>	
<b>Contract Price For Option Year 1</b>	
<b>Contract Price For Option Year 2</b>	
<b>TOTAL CONTRACT FIRM FIXED PRICE</b>	

\_\_\_\_\_  
Authorized Individual Name

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Company Tax ID #

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**ATTACHMENT 2 MINORITY BUSINESS ENTERPRISE FORMS**

The Minority Business Enterprise (MBE) subcontractor participation goal for this solicitation is 0%.

## ATTACHMENT 3 TASK ORDER AGREEMENT

CATS+ TORFP# MIA-15-010 OF MASTER CONTRACT #060B2490023

This Task Order Agreement (“TO Agreement”) is made this day of Month, 20XX by and between \_\_\_\_\_ (TO Contractor) and the STATE OF MARYLAND, The Maryland Insurance Administration (MIA).

IN CONSIDERATION of the mutual promises and the covenants herein contained and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree as follows:

1. Definitions. In this TO Agreement, the following words have the meanings indicated:
  - a) “Agency” means The Maryland Insurance Administration, as identified in the CATS+ TORFP # MIA-15-010.
  - b) “CATS+ TORFP” means the Task Order Request for Proposals # MIA-15-010, dated MONTH DAY, YEAR, including any addenda and amendments.
  - c) “Master Contract” means the CATS+ Master Contract between the Maryland Department of Information Technology and TO Contractor dated April 22, 2013.
  - d) “TO Procurement Officer” means Rodney Spence. The Agency may change the TO Procurement Officer at any time by written notice.
  - e) “TO Agreement” means this signed TO Agreement between MIA and TO Contractor.
  - f) “TO Contractor” means the CATS+ Master Contractor awarded this TO Agreement, whose principal business address is \_\_\_\_\_.
  - g) “TO Manager” means Paula Keen. The Agency may change the TO Manager at any time by written notice to the TO Contractor.
  - h) “TO Technical Proposal” means the TO Contractor’s technical response to the CATS+ TORFP dated date of TO Technical Proposal.
  - i) “TO Financial Proposal” means the TO Contractor’s financial response to the CATS+ TORFP dated date of TO Financial Proposal.
  - j) “TO Proposal” collectively refers to the TO Technical Proposal and TO Financial Proposal.
2. Scope of Work
  - 2.1 This TO Agreement incorporates all of the terms and conditions of the Master Contract and shall not in any way amend, conflict with or supersede the Master Contract.
  - 2.2 The TO Contractor shall, in full satisfaction of the specific requirements of this TO Agreement, provide the services set forth in Section 2 of the CATS+ TORFP. These services shall be provided in accordance with the Master Contract, this TO Agreement, and the following Exhibits, which are attached and incorporated herein by reference. If there is any conflict among the Master Contract, this TO Agreement, and these Exhibits, the terms of the Master Contract shall govern. If there is any conflict between this TO Agreement and any of these Exhibits, the following order of precedence shall determine the prevailing provision:
    - a) The TO Agreement,
    - b) Exhibit A – CATS+ TORFP
    - c) Exhibit B – TO Technical Proposal
    - d) Exhibit C – TO Financial Proposal

2.3 The TO Procurement Officer may, at any time, by written order, make changes in the work within the general scope of the TO Agreement. No other order, statement or conduct of the TO Procurement Officer or any other person shall be treated as a change or entitle the TO Contractor to an equitable adjustment under this Section. Except as otherwise provided in this TO Agreement, if any change under this Section causes an increase or decrease in the TO Contractor's cost of, or the time required for, the performance of any part of the work, whether or not changed by the order, an equitable adjustment in the TO Agreement price shall be made and the TO Agreement modified in writing accordingly. The TO Contractor must assert in writing its right to an adjustment under this Section within thirty (30) days of receipt of written change order and shall include a written statement setting forth the nature and cost of such claim. No claim by the TO Contractor shall be allowed if asserted after final payment under this TO Agreement. Failure to agree to an adjustment under this Section shall be a dispute under the Disputes clause of the Master Contract. Nothing in this Section shall excuse the TO Contractor from proceeding with the TO Agreement as changed.

### 3. Time for Performance

Unless terminated earlier as provided in the Master Contract, the TO Contractor shall provide the services described in the TO Proposal and in accordance with the CATS+ TORFP on receipt of a Notice to Proceed from the TO Manager. The term of this TO Agreement is for a period of one (1) year, and up to two (2) one-year option periods commencing on the date the TO Agreement is fully executed and terminating on Month \_\_\_\_\_ Day, \_\_\_\_\_ Year \_\_\_\_\_. The state reserves the right in its sole discretion to exercise the renewal option (s). If exercised, the option period (s) shall be under the same terms and conditions, as the base year for the price listed for the applicable option period in the financial proposal form.

### 4. Consideration and Payment

- 4.1 The consideration to be paid the TO Contractor shall be done so in accordance with the CATS+ TORFP and shall not exceed \$ \_\_\_\_\_. Any work performed by the TO Contractor in excess of the not-to-exceed ceiling amount of the TO Agreement without the prior written approval of the TO Manager is at the TO Contractor's risk of non-payment.
- 4.2 Payments to the TO Contractor shall be made as outlined Section 2 of the CATS+ TORFP, but no later than thirty (30) days after the Agency's receipt of a proper invoice for services provided by the TO Contractor, acceptance by the Agency of services provided by the TO Contractor, and pursuant to the conditions outlined in Section 4 of this Agreement.
- 4.3 Each invoice for services rendered must include the TO Contractor's Federal Tax Identification Number which is \_\_\_\_\_. Charges for late payment of invoices other than as prescribed by Title 15, Subtitle 1, of the State Finance and Procurement Article, Annotated Code of Maryland, as from time-to-time amended, are prohibited. Invoices must be submitted to the Agency TO Manager unless otherwise specified herein.
- 4.4 In addition to any other available remedies, if, in the opinion of the TO Procurement Officer, the TO Contractor fails to perform in a satisfactory and timely manner, the TO Procurement Officer may refuse or limit approval of any invoice for payment, and may cause payments to the TO Contractor to be reduced or withheld until such time as the TO Contractor meets performance standards as established by the TO Procurement Officer.

IN WITNESS THEREOF, the parties have executed this TO Agreement as of the date hereinabove set forth.

TO Contractor Name

\_\_\_\_\_  
By: Type or Print TO Contractor POC

\_\_\_\_\_  
Date

Witness: \_\_\_\_\_

STATE OF MARYLAND, MIA

\_\_\_\_\_  
By: Nancy Grodin, Deputy Commissioner

\_\_\_\_\_  
Date

Witness: \_\_\_\_\_

Approved for form and legal sufficiency this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_.

\_\_\_\_\_  
Assistant Attorney General





**ATTACHMENT 4 CONFLICT OF INTEREST AFFIDAVIT AND DISCLOSURE**

- A) "Conflict of interest" means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the State, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage.
- B) "Person" has the meaning stated in COMAR 21.01.02.01B(64) and includes a bidder, offeror, contractor, consultant, or subcontractor or sub consultant at any tier, and also includes an employee or agent of any of them if the employee or agent has or will have the authority to control or supervise all or a portion of the work for which a bid or offer is made.
- C) The bidder or offeror warrants that, except as disclosed in §D, below, there are no relevant facts or circumstances now giving rise or which could, in the future, give rise to a conflict of interest.
- D) The following facts or circumstances give rise or could in the future give rise to a conflict of interest (explain in detail—attach additional sheets if necessary):
- E) The bidder or offeror agrees that if an actual or potential conflict of interest arises after the date of this affidavit, the bidder or offeror shall immediately make a full disclosure in writing to the procurement officer of all relevant facts and circumstances. This disclosure shall include a description of actions which the bidder or offeror has taken and proposes to take to avoid, mitigate, or neutralize the actual or potential conflict of interest. If the contract has been awarded and performance of the contract has begun, the Contractor shall continue performance until notified by the procurement officer of any contrary action to be taken.

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF.

Date: \_\_\_\_\_

By: \_\_\_\_\_

(Authorized Representative and Affiant)



## ATTACHMENT 5 LABOR CLASSIFICATION PERSONNEL RESUME SUMMARY

For this TORFP:

a) Master Contractors shall comply with all personnel requirements defined under the Master Contract RFP 060B2490023.

A Master Contractor's entire TO Technical Proposal will be deemed not susceptible for award if it fails to follow these instructions.

b) Complete and sign the **Personnel Resume Form** (Attachment 5) for each resource proposed. Alternate resume formats are not allowed.

i) The **Personnel Resume Form** provides resumes in a standard format. Additional information may be attached to each Personnel Resume Summary if it aids a full and complete understanding of the individual proposed.

## PERSONNEL RESUME FORM

CATS+ TORFP # MIA-15-010

Instructions: Submit one resume form for each resource proposed. Do not submit other resume formats. Fill out each box as instructed. Failure to follow the instructions on the instructions page and in TORFP may result in the TO Proposal being considered not susceptible for award.

Resource Name:	
Master Contractor:	<insert Master Contractor name> Sub-Contractor (if applicable):
Proposed CATS+ Labor Category:	
Job Title (As listed in TORFP):	Security Penetration Testing

### Education / Training (start with most recent degree / certificate)

Institution Name / City / State	Degree / Certification	Year Completed	Field Of Study
<add lines as needed>			

### Relevant Work Experience\*

Describe work experience relevant to the Duties / Responsibilities and Minimum Qualifications described in Section 2 of the TORFP. Start with the most recent experience first; do not include experience not relevant to the scope of this TORFP; use [Employment History below for full employment history](#). Enter dates as MM/YY – MM/YY. Add lines as needed.

[Organization] [Title / Role] [Period of Employment / Work (MM/YY – MM/YY)] [Location] [Contact Person (Optional if current employer)] [Technologies Used]	Description of Work (recommended: organize work descriptions to address minimum qualifications and other requirements)
[Organization] [Title / Role] [Period of Employment / Work MM/YY – MM/YY] [Location] [Contact Person] [Technologies Used]	Description of Work (recommended: organize work descriptions to address minimum qualifications and other requirements)

\*Fill out each box. Do not enter “see resume” as a response.

### A) References for Proposed Resource (if requested in the TORFP)

List persons the State may contact as employment references. Add lines as needed.

Reference Number:	1
Date From:	<mm/yy>
Date To:	<mm/yy>
Organization Name:	<insert organization name>

Contact Name:	<insert contact>
Contact Phone:	<insert phone>
Contact e-mail:	<insert e-mail>
Details:	<insert details>

The information provided on this form for this labor class is true and correct to the best of my knowledge (Signatures must be included):

**Master Contractor Representative:**

_____	_____
_Signature	Date

**Proposed Individual:**

_____	_____
Signature	Date

*Instruction: Sign each form.*

## **ATTACHMENT 6 PRE-PROPOSAL CONFERENCE DIRECTIONS**

The Maryland Insurance Administration is located at the St. Paul Plaza building, at the intersection of St. Paul Place and Lexington Street in the middle of City Center. It is conveniently situated four blocks from the Inner Harbor and the financial district. It is also within minutes of several forms of mass transit and major interstates.

From I-95 North or South:

Take Exit 53 labeled "Downtown" and stay in lane for I-395 "Inner Harbor". Bear Right onto Conway Street. Turn left at the 2nd traffic light onto Charles Street. Stay straight on Charles Street and turn right at 6th traffic light at Lexington Street. On Lexington Street, turn left into garage entrance for Park-It of Maryland.

From I-83 North or South:

Take Exit 2 labeled "Pleasant Street". Turn right at the traffic light at the bottom of the ramp. Turn left at the 3rd traffic light onto St. Paul Street. Turn right at the second light onto Lexington Street. On Lexington Street, turn right into the garage entrance of Park-It of Maryland.

From Route 40 Heading West:

Take Route 40 towards Baltimore City. Turn left (south) onto St. Paul Street heading. Turn right at the third traffic light onto Lexington Street. On Lexington Street, turn right into the Park-It of Maryland garage entrance

From Route 40 Heading East:

Take Route 40 East (Mulberry Street). Turn right (south) onto St. Paul Street. Turn right at the second traffic light onto Lexington Street. On Lexington Street, turn right into the Park-It of Maryland garage entrance.

Mass Transit

Metro- Charles Street stop.

Light Rail- Lexington Market Stop.

MARC Train- Baltimore Camden Station.

Bus- St. Paul & Lexington Stop.

Visit [www.mtmaryland.com](http://www.mtmaryland.com) for mass transit schedules.

**ATTACHMENT 6 (con't)- PRE-PROPOSAL CONFERENCE RESPONSE FORM**

A Pre-Proposal Conference will be held on 01/17/2017 at 2:00 PM Local Time at 200 St. Paul Place Baltimore, MD 21202. Please return this form by 01/12/2016 advising whether or not you plan to attend.

Return via e-mail this form to the Procurement Officer:

Rodney Spence  
Fiscal Department  
200 St. Paul Place Baltimore, MD 21202  
Email: procurement.mia@maryland.gov

Please indicate:

\_\_\_\_\_ Yes, the following representatives will be in attendance:

- 1.
- 2.
- 3.

\_\_\_\_\_ No, we will not be in attendance.

Please specify whether any reasonable accommodations are requested (see RFP § 1.7 “Pre-Proposal Conference”):

---

Signature

Title

---

Name of Firm (please print)







**ATTACHMENT 7 AGENCY DELIVERABLE PRODUCT ACCEPTANCE FORM**

Agency Name: MIA

Solicitation Title: Security Penetration Testing

TO Manager: Paula Keen, 410.468.2059

paula.keen@maryland.gov

To: TO Contractor Name

The following deliverable, as required by Solicitation Number (TORFP #): MIA-15-010 has been received and reviewed in accordance with the TORFP.

Title of deliverable: \_\_\_\_\_

TORFP Contract Reference Number: Section # \_\_\_\_\_

Deliverable Reference ID # \_\_\_\_\_

This deliverable:

Is accepted as delivered.

Is rejected for the reason(s) indicated below.

REASON(S) FOR REJECTING DELIVERABLE:

OTHER COMMENTS:

\_\_\_\_\_  
TO Manager Signature

\_\_\_\_\_  
Date Signed

## ATTACHMENT 8 NON-DISCLOSURE AGREEMENT (OFFEROR)

This Non-Disclosure Agreement (the "Agreement") is made this \_\_\_\_ day of \_\_\_\_\_ 20\_\_, by and between \_\_\_\_\_ (hereinafter referred to as "the OFFEROR ") and the State of Maryland (hereinafter referred to as "the State").

OFFEROR warrants and represents that it intends to submit a TO Proposal in response to CATS+ TORFP # MIA-15-010 for Security Penetration Testing. In order for the OFFEROR to submit a TO Proposal, it will be necessary for the State to provide the OFFEROR with access to certain confidential information including, but not limited, to \_\_\_\_\_. All such information provided by the State shall be considered Confidential Information regardless of the form, format, or media upon which or in which such information is contained or provided, regardless of whether it is oral, written, electronic, or any other form, and regardless of whether the information is marked as "Confidential Information". As a condition for its receipt and access to the Confidential Information described above, the OFFEROR agrees as follows:

1. OFFEROR will not copy, disclose, publish, release, transfer, disseminate or use for any purpose in any form any Confidential Information received, except in connection with the preparation of its TO Proposal.
2. Each employee or agent of the OFFEROR who receives or has access to the Confidential Information shall execute a copy of this Agreement and the OFFEROR shall provide originals of such executed Agreements to the State. Each employee or agent of the OFFEROR who signs this Agreement shall be subject to the same terms, conditions, requirements and liabilities set forth herein that are applicable to the OFFEROR.
3. OFFEROR shall return the Confidential Information to the State within five business days of the State's Notice of recommended award. If the OFFEROR does not submit a Proposal, the OFFEROR shall return the Confidential Information to Rodney Spence, MIA on or before the due date for Proposals.
4. OFFEROR acknowledges that the disclosure of the Confidential Information may cause irreparable harm to the State and agrees that the State may obtain an injunction to prevent the disclosure, copying, or other impermissible use of the Confidential Information. The State's rights and remedies hereunder are cumulative and the State expressly reserves any and all rights, remedies, claims and actions that it may have now or in the future to protect the Confidential Information and/or to seek damages for the OFFEROR'S failure to comply with the requirements of this Agreement. The OFFEROR consents to personal jurisdiction in the Maryland State Courts.
5. In the event the State suffers any losses, damages, liabilities, expenses, or costs (including, by way of example only, attorneys' fees and disbursements) that are attributable, in whole or in part to any failure by the OFFEROR or any employee or agent of the OFFEROR to comply with the requirements of this Agreement, OFFEROR and such employees and agents of OFFEROR shall hold harmless and indemnify the State from and against any such losses, damages, liabilities, expenses, and/or costs.
6. This Agreement shall be governed by the laws of the State of Maryland.
7. OFFEROR acknowledges that pursuant to Section 11-205.1 of the State Finance and Procurement Article of the Annotated Code of Maryland, a person may not willfully make a false or fraudulent statement or representation of a material fact in connection with a procurement contract. Persons making such statements are guilty of a felony and on conviction subject to a fine of not more than \$20,000 and/or imprisonment not exceeding 5 years or both. OFFEROR further acknowledges that this Agreement is a statement made in connection with a procurement contract.
8. The individual signing below warrants and represents that they are fully authorized to bind the OFFEROR to the terms and conditions specified in this Agreement. If signed below by an individual employee or agent of the OFFEROR under Section 2 of this Agreement, such individual acknowledges that a failure to comply with the requirements specified in this Agreement may result in personal liability.

OFFEROR: \_\_\_\_\_ BY: \_\_\_\_\_  
NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_

## ATTACHMENT 9 NON-DISCLOSURE AGREEMENT (TO CONTRACTOR)

THIS NON-DISCLOSURE AGREEMENT ("Agreement") is made as of this \_\_\_ day of \_\_\_\_\_, 20\_\_\_, by and between the State of Maryland ("the State"), acting by and through its The Maryland Insurance Administration ,MIA, (the "Agency"), and \_\_\_\_\_ ("TO Contractor"), a corporation with its principal business office located at \_\_\_\_\_ and its principal office in Maryland located at \_\_\_\_\_.

### RECITALS

WHEREAS, the TO Contractor has been awarded a Task Order Agreement (the "TO Agreement") for Security Penetration Testing TORFP No. MIA-15-010 dated \_\_\_\_\_, (the "TORFP") issued under the Consulting and Technical Services procurement issued by the Agency, Project Number 060B2490023; and

WHEREAS, in order for the TO Contractor to perform the work required under the TO Agreement, it will be necessary for the State to provide the TO Contractor and the TO Contractor's employees and agents (collectively the "TO Contractor's Personnel") with access to certain confidential information regarding \_\_\_\_\_ (the "Confidential Information").

NOW, THEREFORE, in consideration of being given access to the Confidential Information in connection with the TORFP and the TO Agreement, and for other good and valuable consideration, the receipt and sufficiency of which the parties acknowledge, the parties do hereby agree as follows:

1. Regardless of the form, format, or media on or in which the Confidential Information is provided and regardless of whether any such Confidential Information is marked as such, Confidential Information means (1) any and all information provided by or made available by the State to the TO Contractor in connection with the TO Agreement and (2) any and all personally identifiable information (PII) (including but not limited to personal information as defined in Md. Ann. Code, State Govt. § 10-1301) and protected health information (PHI) that is provided by a person or entity to the TO Contractor in connection with this TO Agreement. Confidential Information includes, by way of example only, information that the TO Contractor views, takes notes from, copies (if the State agrees in writing to permit copying), possesses or is otherwise provided access to and use of by the State in relation to the TO Agreement.
2. TO Contractor shall not, without the State's prior written consent, copy, disclose, publish, release, transfer, disseminate, use, or allow access for any purpose or in any form, any Confidential Information except for the sole and exclusive purpose of performing under the TO Agreement. TO Contractor shall limit access to the Confidential Information to the TO Contractor's Personnel who have a demonstrable need to know such Confidential Information in order to perform under the TO Agreement and who have agreed in writing to be bound by the disclosure and use limitations pertaining to the Confidential Information. The names of the TO Contractor's Personnel are attached hereto and made a part hereof as Exhibit A. Each individual whose name appears on Exhibit A shall execute a copy of this Agreement and thereby be subject to the terms and conditions of this Agreement to the same extent as the TO Contractor. TO Contractor shall update Exhibit A by adding additional names as needed, from time to time.
3. If the TO Contractor intends to disseminate any portion of the Confidential Information to non-employee agents who are assisting in the TO Contractor's performance of the TORFP or who will otherwise have a role in performing any aspect of the TORFP, the TO Contractor shall first obtain the written consent of the State to any such dissemination. The State may grant, deny, or condition any such consent, as it may deem appropriate in its sole and absolute subjective discretion.
4. TO Contractor hereby agrees to hold the Confidential Information in trust and in strictest confidence, to adopt or establish operating procedures and physical security measures, and to take all other measures necessary to protect the Confidential Information from inadvertent release or disclosure to unauthorized third parties and to prevent all or any portion of the Confidential Information from falling into the public domain or into the possession of persons not bound to maintain the confidentiality of the Confidential Information.
5. TO Contractor shall promptly advise the State in writing if it learns of any unauthorized use, misappropriation, or disclosure of the Confidential Information by any of the TO Contractor's Personnel or the TO Contractor's former Personnel. TO Contractor shall, at its own expense, cooperate with the State in seeking injunctive or other equitable relief against any such person(s).

6. TO Contractor shall, at its own expense, return to the Agency, all Confidential Information in its care, custody, control or possession upon request of the Agency or on termination of the TO Agreement.
7. A breach of this Agreement by the TO Contractor or by the TO Contractor's Personnel shall constitute a breach of the Master Contract Agreement between the TO Contractor and the State.
8. TO Contractor acknowledges that any failure by the TO Contractor or the TO Contractor's Personnel to abide by the terms and conditions of use of the Confidential Information may cause irreparable harm to the State and that monetary damages may be inadequate to compensate the State for such breach. Accordingly, the TO Contractor agrees that the State may obtain an injunction to prevent the disclosure, copying or improper use of the Confidential Information. The TO Contractor consents to personal jurisdiction in the Maryland State Courts. The State's rights and remedies hereunder are cumulative and the State expressly reserves any and all rights, remedies, claims and actions that it may have now or in the future to protect the Confidential Information and/or to seek damages from the TO Contractor and the TO Contractor's Personnel for a failure to comply with the requirements of this Agreement. In the event the State suffers any losses, damages, liabilities, expenses, or costs (including, by way of example only, attorneys' fees and disbursements) that are attributable, in whole or in part to any failure by the TO Contractor or any of the TO Contractor's Personnel to comply with the requirements of this Agreement, the TO Contractor shall hold harmless and indemnify the State from and against any such losses, damages, liabilities, expenses, and/or costs.
9. TO Contractor and each of the TO Contractor's Personnel who receive or have access to any Confidential Information shall execute a copy of an agreement substantially similar to this Agreement and the TO Contractor shall provide originals of such executed Agreements to the State.
10. The parties further agree that:
  - This Agreement shall be governed by the laws of the State of Maryland;
  - The rights and obligations of the TO Contractor under this Agreement may not be assigned or delegated, by operation of law or otherwise, without the prior written consent of the State;
  - The State makes no representations or warranties as to the accuracy or completeness of any Confidential Information;
  - The invalidity or unenforceability of any provision of this Agreement shall not affect the validity or enforceability of any other provision of this Agreement;
  - Signatures exchanged by facsimile are effective for all purposes hereunder to the same extent as original signatures; and
  - The Recitals are not merely prefatory but are an integral part hereof.

**TO Contractor/TO Contractor's Personnel:**

**MIA**

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

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

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

**EXHIBIT A – FOR THE NONDISCLOSURE AGREEMENT (TO CONTRACTOR)**  
TO CONTRACTOR’S EMPLOYEES AND AGENTS WHO WILL BE GIVEN ACCESS TO THE  
CONFIDENTIAL INFORMATION

Printed Name and Address  
of Employee or Agent

Signature

Date

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## ATTACHMENT 10 TO CONTRACTOR SELF-REPORTING CHECKLIST

*The purpose of this checklist is for CATS+ Master Contractors to self-report on adherence to procedures for task orders (TO) awarded under the CATS+ Master Contract. Requirements for TO management can be found in the CATS+ Master Contract RFP and at the TORFP level. The Master Contractor is requested to complete and return this form by the Checklist Due Date below. Master Contractors may attach supporting documentation as needed. Please send the completed checklist and direct any related questions to [contractoversight.doit@maryland.gov](mailto:contractoversight.doit@maryland.gov) with the TO number in the subject line.*

Master Contractor:	
Master Contractor Contact / Phone:	
Procuring State Agency Name:	
TO Title:	
TO Number:	
TO Type (Fixed Price, T&M, or Both):	
Checklist Issue Date:	
Checklist Due Date:	
<b>Section 1 – Task Orders with Invoices Linked to Deliverables</b>	
A) Was the original TORFP (Task Order Request for Proposals) structured to link invoice payments to distinct deliverables with specific acceptance criteria? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, skip to Section 2.)	
B) Do TO invoices match corresponding deliverable prices shown in the accepted Financial Proposal? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)	
C) Is the deliverable acceptance process being adhered to as defined in the TORFP? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)	
<b>Section 2 – Task Orders with Invoices Linked to Time, Labor Rates and Materials</b>	
A) If the TO involves material costs, are material costs passed to the agency without markup by the Master Contractor? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)	
B) Are labor rates the same or less than the rates proposed in the accepted Financial Proposal? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)	
C) Is the Master Contractor providing timesheets or other appropriate documentation to support invoices? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)	
<b>Section 3 – Substitution of Personnel</b>	
A) Has there been any substitution of personnel? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, skip to Section 4.)	
B) Did the Master Contractor request each personnel substitution in writing? Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)	



<p>C) Does each accepted substitution possess equivalent or better education, experience and qualifications than incumbent personnel?  Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)</p>
<p>Was the substitute approved by the agency in writing?  Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)</p>
<p><b>Section 4 – MBE Participation</b></p>
<p>A) What is the MBE goal as a percentage of the TO value?                      % (If there is no MBE goal, skip to Section 5)</p>
<p>B) Are MBE reports 2-4A, 2-4B, and 2-5 submitted monthly?  Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)</p>
<p>C) What is the actual MBE percentage to date? (divide the dollar amount paid to date to the MBE by the total amount paid to date on the TO)                      %  (Example - \$3,000 was paid to date to the MBE subcontractor; \$10,000 was paid to date on the TO; the MBE percentage is 30% (<math>3,000 \div 10,000 = 0.30</math>))</p>
<p>Is this consistent with the planned MBE percentage at this stage of the project?  Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)</p>
<p>Has the Master Contractor expressed difficulty with meeting the MBE goal?  Yes <input type="checkbox"/> No <input type="checkbox"/>  (If yes, explain the circumstances and any planned corrective actions)</p>
<p><b>Section 5 – TO Change Management</b></p>
<p>A) Is there a written change management procedure applicable to this TO?  Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)</p>
<p>B) Does the change management procedure include the following?    Yes <input type="checkbox"/> No <input type="checkbox"/> Sections for change description, justification, and sign-off  Yes <input type="checkbox"/> No <input type="checkbox"/> Sections for impact on cost, scope, schedule, risk and quality (i.e., the impact of change on satisfying TO requirements)  Yes <input type="checkbox"/> No <input type="checkbox"/> A formal group charged with reviewing / approving / declining changes (e.g., change control board, steering committee, or management team)</p>
<p>C) Have any change orders been executed?  Yes <input type="checkbox"/> No <input type="checkbox"/>  (If yes, explain expected or actual impact on TO cost, scope, schedule, risk and quality)</p>
<p>D) Is the change management procedure being followed?  Yes <input type="checkbox"/> No <input type="checkbox"/> (If no, explain why)</p>

SUBMIT AS INSTRUCTED IN TORFP



**ATTACHMENT 11 LIVING WAGE AFFIDAVIT OF AGREEMENT**

Contract No. \_\_\_\_\_

Name of Contractor \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

**If the Contract is Exempt from the Living Wage Law**

The Undersigned, being an authorized representative of the above named Contractor, hereby affirms that the Contract is exempt from Maryland's Living Wage Law for the following reasons: (check all that apply)

Bidder/Offeror is a nonprofit organization

Bidder/Offeror is a public service company

Bidder/Offeror employs 10 or fewer employees and the proposed contract value is less than \$500,000

Bidder/Offeror employs more than 10 employees and the proposed contract value is less than \$100,000

**If the Contract is a Living Wage Contract**

A. The Undersigned, being an authorized representative of the above named Contractor, hereby affirms our commitment to comply with Title 18, State Finance and Procurement Article, Annotated Code of Maryland and, if required, to submit all payroll reports to the Commissioner of Labor and Industry with regard to the above stated contract. The Bidder/Offeror agrees to pay covered employees who are subject to living wage at least the living wage rate in effect at the time service is provided for hours spent on State contract activities, and to ensure that its Subcontractors who are not exempt also pay the required living wage rate to their covered employees who are subject to the living wage for hours spent on a State contract for services. The Contractor agrees to comply with, and ensure its Subcontractors comply with, the rate requirements during the initial term of the contract and all subsequent renewal periods, including any increases in the wage rate established by the Commissioner of Labor and Industry, automatically upon the effective date of the revised wage rate.

B. \_\_\_\_\_ (initial here if applicable) The Bidder/Offeror affirms it has no covered employees for the following reasons (check all that apply):

All employee(s) proposed to work on the State contract will spend less than one-half of the employee's time during every work week on the State contract;

All employee(s) proposed to work on the State contract will be 17 years of age or younger during the duration of the State contract; or

All employee(s) proposed to work on the State contract will work less than 13 consecutive weeks on the State contract.

The Commissioner of Labor and Industry reserves the right to request payroll records and other data that the Commissioner deems sufficient to confirm these affirmations at any time.

Name of Authorized Representative: \_\_\_\_\_

Signature of Authorized Representative \_\_\_\_\_

Date: \_\_\_\_\_ Title: \_\_\_\_\_

Witness Name (Typed or Printed): \_\_\_\_\_

Witness Signature and Date: \_\_\_\_\_



**ATTACHMENT 12 MERCURY AFFIDAVIT**

THIS ATTACHMENT DOES NOT APPLY TO THIS TORFP.



**ATTACHMENT 13 VETERAN SMALL BUSINESS ENTERPRISE PARTICIPATION (VSBE)  
FOR STATE OF MARYLAND**

The VSBE subcontractor participation goal for this solicitation is 0%.





**ATTACHMENT 14 CERTIFICATION REGARDING INVESTMENTS IN IRAN**

**Authority:** State Finance & Procurement, §§17-701 – 17-707, Annotated Code of Maryland [Chapter 447, Laws of 2012.]

**List:** The Investment Activities in Iran list identifies companies that the Board of Public Works has found to engage in investment activities in Iran; those companies may not participate in procurements with a public body in the State. “Engaging in investment activities in Iran” means:

- B. Providing goods or services of at least \$20 million in the energy sector of Iran; or
- C. For financial institutions, extending credit of at least \$20 million to another person for at least 45 days if the person is on the Investment Activities In Iran list and will use the credit to provide goods or services in the energy of Iran.

*The Investment Activities in Iran list is located at: [www.bpw.state.md.us](http://www.bpw.state.md.us)*

**Rule:** A company listed on the Investment Activities In Iran list is ineligible to bid on, submit a proposal for, or renew a contract for goods and services with a State Agency or any public body of the State. Also ineligible are any parent, successor, subunit, direct or indirect subsidiary of, or any entity under common ownership or control of, any listed company.

*NOTE: This law applies only to new contracts and to contract renewals. The law does not require an Agency to terminate an existing contract with a listed company.*

**CERTIFICATION REGARDING INVESTMENTS IN IRAN**

The undersigned certifies that, in accordance with State Finance & Procurement Article, §17-705:

- (i) it is not identified on the list created by the Board of Public Works as a person engaging in investment activities in Iran as described in §17-702 of State Finance & Procurement; and
- (ii) it is not engaging in investment activities in Iran as described in State Finance & Procurement Article, §17-702.

The undersigned is unable make the above certification regarding its investment activities in Iran due to the following activities:

Name of Authorized Representative: \_\_\_\_\_

Signature of Authorized Representative: \_\_\_\_\_

Date: \_\_\_\_\_ Title: \_\_\_\_\_

Witness Name (Typed or Printed): \_\_\_\_\_

Witness Signature and Date: \_\_\_\_\_





## ATTACHMENT 15 SAMPLE WORK ORDER

<b>WORK ORDER</b>		<b>Work Order #</b>	<b>Contract #</b>		
This Work Order is issued under the provisions of the Task Order. The services authorized are within the scope of services set forth in the <i>Purpose</i> of the Work Order.					
<b>Purpose</b>					
<b>Statement of Work</b>					
<u>Requirements</u> ( <i>Uniquely number each requirement</i> ):					
<u>Deliverable(s), Acceptance Criteria and Due Date(s)</u> ( <i>Uniquely number each Deliverable</i> ):					
Deliverables are subject to review and approval by <<TO Requesting Agency ACRONYM>> prior to payment. ( <i>Attach additional sheets if necessary</i> )					
<b>Start Date</b>		<b>End Date</b>			
<b>Cost</b>					
<b>Description for Task / Deliverables</b>		<b>Quantity (if applicable)</b>	<b>Labor Hours (Hrs.)</b>	<b>Labor Rate</b>	<b>Estimate Total</b>
1.				\$	\$
2.				\$	\$
*Include WBS, schedule and response to requirements.		<<TO Requesting Agency ACRONYM>> shall pay an amount not to exceed			\$
<b>Contractor</b>			<b>Agency Approval</b>		
(Signature) Contractor Authorized Representative (Date)			(Signature) TO Manager (Date)		
POC		(Print Name)	TO Manager		(Print Name)
Telephone No.			Telephone No.		
E-mail:			E-mail:		

**ATTACHMENT 16 CRIMINAL BACKGROUND CHECK AFFIDAVIT**

**AUTHORIZED REPRESENTATIVE**

**I HEREBY AFFIRM THAT:**

I am the \_\_\_\_\_ (Title) \_\_\_\_\_ and the duly authorized representative of \_\_\_\_\_ (Master Contractor) \_\_\_\_\_ and that I possess the legal authority to make this Affidavit on behalf of myself and the business for which I am acting.

I hereby affirm that \_\_\_\_\_ (Master Contractor) \_\_\_\_\_ has complied with Section 2.4, Security Requirements of the Department of Information Technology's Consulting Technical Services Master Contract Number 060B2490023 (CATS+) hereto as Exhibit A.

I hereby affirm that the \_\_\_\_\_ (Master Contractor) \_\_\_\_\_ has provided The Maryland Insurance Administration with a summary of the security clearance results for all of the candidates that will be working on Task Order Security Penetration Testing MIA-15-010 and all of these candidates have successfully passed all of the background checks required under Section 2.4.3.2 of the CATS + Master Contract. Master Contractors hereby agrees to provide security clearance results for any additional candidates at least seven (7) days prior to the date the candidate commences work on this Task Order.

**I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF.**

\_\_\_\_\_  
Master Contractor

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## **ATTACHMENT 17 MIA INFORMATION TECHNOLOGY SECURITY POLICY**

*The MIA Internet Technology Security Policy is a separate document. It is located on E-Maryland Marketplace under the tab for attachments.*

**ATTACHMENT 18 - NOTICE TO PROCEED (sample)**

Month Day, Year

TO Contractor Name

TO Contractor Mailing Address

Re: CATS+ Solicitation Number (TORFP #): MIA-15-010

Dear TO Contractor Contact:

This letter is your official Notice to Proceed as of Month Day, Year, for the above-referenced Task Order Agreement. Paula Keen of The Maryland Insurance Administration will serve as the TO Manager and your contact person on this Task Order. She can be reached at telephone 410 468 2059.

Enclosed is an original, fully executed Task Order Agreement and purchase order.

Sincerely,

Rodney Spence

Task Order Procurement Officer

Enclosures (2)

cc: Paula Keen, TO Manager

Procurement Liaison Office, Department of Information Technology

Project Oversight Office, Department of Information Technology