CONSULTING AND TECHNICAL SERVICES+ (CATS+)
TASK ORDER REQUEST FOR PROPOSALS (TORFP)

REGISTER OF WILLS (ROW)

SOLICITATION NUMBER E00B9400036

HELP DESK, APPLICATION AND SYSTEM SUPPORT

ISSUE DATE: MARCH 14, 2019
# REGISTER OF WILLS (ROW)
## KEY INFORMATION SUMMARY SHEET

<table>
<thead>
<tr>
<th>Solicitation Title:</th>
<th>Help Desk, Application and System Support</th>
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<tr>
<td>Solicitation Number (TORFP#):</td>
<td>E00B9400036</td>
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<tr>
<td>Functional Area:</td>
<td>Functional Area 5 - Software Engineering</td>
</tr>
<tr>
<td>TORFP Issue Date:</td>
<td>March 14, 2019</td>
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<tr>
<td>TORFP Issuing Office:</td>
<td>Comptroller of Maryland (COM)</td>
</tr>
<tr>
<td>COM Location:</td>
<td>Annapolis Maryland</td>
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</table>
| TO Procurement Officer: | Bernice Jeffries  
80 Calvert Street  
Annapolis, MD 21401-  
BJeffries@comp.state.md.us  
410-260-7594 |
| TO Manager: | Jasneet Kapur  
P.O. Box 466  
Annapolis, MD 21404  
JKapur@registers.maryland.gov  
240-461-8164 |
| TO Proposals are to be sent to: | All proposals are to be mailed or hand delivered to the Procurement Officer. |
| TO Pre-Proposal Conference: | March 19, 2019; 9:00 AM – 10:00 AM |
| TO Proposals Due (Closing) Date and Time: | April 18, 2019 ; 9:00 AM Local Time  
Offerors reminded that a completed Feedback Form is requested if a no-bid decision is made (see Section 5). |
| MBE Subcontracting Goal: | 21% |
| VSBE Subcontracting Goal: | 0% |
| Task Order Type: | Time & Materials. |
| Task Order Duration: | Five (5) years, commencing on date of Notice-to-Proceed (NTP). |
| Primary Place of Performance: | Register of Wills Statewide Offices |
| SBR Designation: | No |
| Federal Funding: | No |
| Questions Due Date and Time | April 9, 2019, 10:00 AM Local Time |
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</table>
1 Minimum Qualifications

1.1 Offeror Personnel Minimum Qualifications

All Personnel must meet the identified labor categories and labor category descriptions as described in CATS + RFP Section 2.10


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2 TO Contractor Requirements: Scope of Work

2.1 Summary Statement

2.1.1 The Register of Wills (ROW) is issuing this CATS+ TORFP in order to acquire information technology expertise for Help Desk, application and system support for the ROW systems and applications.

Offeror must propose four (4) Key Personnel to fulfill the following roles:

1. Computer Programmer, Senior (2)
2. Network Engineer, Senior (2)

Additional resources will be added via Work Order under the following labor categories:

1. Help Desk Manager
2. Computer Programmer Junior
3. Computer Specialist
4. Quality Assurance Specialist
5. Helpdesk Specialist Senior
6. Training Specialist / Instructor
7. Technical Writer / Editor

2.1.2 In addition to the initial four (4) Key Personnel who will be available as of the NTP Date, ROW anticipates issuing a Work Order for additional resources. This will be completed according to the Work Order Process in Section 3.13.

2.1.3 The ROW intends to award this Task Order to one (1) Master Contractor that proposes a team of resources and a Staffing Plan that can best satisfy the Task Order requirements.

2.1.4 Master Contractors are advised that, should a solicitation or other competitive award be initiated as a result of activity or recommendations arising from this Task Order, the Offeror awarded this Task Order may not be eligible to compete if such activity constitutes assisting in the drafting of specifications, requirement, or design thereof.

2.1.5 A Task Order award does not assure a TO Contractor that it will receive all State business under the Task Order.

2.2 Background and Purpose

The State of Maryland ROW requires information technology services to develop, maintain, and operate applications and a distributed network of PCs, peripheral equipment, and servers. ROW offices are in twenty-four (24) local jurisdictions (twenty-three (23) counties and Baltimore City), hereinafter referred to as “ROW Offices.” The Registers are independently elected State officials for each of the local jurisdictions.
The ROW client/server application is served from central servers installed at the Comptroller of Maryland’s Annapolis Data Center. The network consists of approximately four (4) central servers, twenty-four (24) office support servers, twenty-six (26) routers, 350 workstations, 260 printers, and 200 scanners. The ROW offices have local area networks (LANs) operating under Microsoft 2012 Server with Microsoft Windows 10 PCs. The twenty-four (24) ROW LANs are linked by Wide Area Network (WAN) to central servers housed at the Annapolis Data Center.

The ROW offices use the “ROW application”, a custom software application, to provide case management services. The application also includes the integrated services of the “High View” Document Management & Imaging system to implement document search and retrieval capabilities. Additionally, the ROW offices utilize Microsoft Office and Adobe Acrobat for business purposes. Internet access and e-mail provide additional application support.

The ROW requires Help Desk, Application and System support to augment and efficiently conduct daily business processes. Services required are distributed as follows:

A. Service Area One: Application Development and Support
   - Application development and programming services for new and existing custom applications
   - Application development and programming support for the custom ROW Application
   - Application development and programming support to improve and extend application interfaces with other State Agencies
   - Help desk support for routine work requests and problem resolutions
   - On-site and remote support at all 24 locations and at the Annapolis Data Center for the analysis, specification, development, testing, installation, upgrade, configuration and problem resolution of applications developed and/or supported.

B. Service Area Two: Help Desk and Support for Network, Servers, Microcomputers, and Packaged Software
   - Installation, upgrade, configuration, and problem resolution support for existing and future upgrades of off-the-shelf (packaged) networking, operating system, desktop and office applications.
   - Help desk support for reporting problems, tracking routine work requests, and insuring problem resolutions

2.2.1 Existing Hardware

A. Existing LAN/WAN

<table>
<thead>
<tr>
<th>Network Cabling</th>
<th>Central Routers &amp; Switches</th>
<th>Office Hubs &amp; Switches</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cat-5 Cables with RJ-45 connectors</td>
<td>Cisco ASA 5508-X Router</td>
<td>Barracuda Web Security Gateway 310</td>
</tr>
<tr>
<td></td>
<td>Cisco ASA 5505 Router</td>
<td>Netgear Gigabit Switches</td>
</tr>
<tr>
<td></td>
<td>24 Port Netgear JGS524F Gigabit Switch</td>
<td>Cisco ASA 5506-X</td>
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</tbody>
</table>

B. Datacenter Servers

<table>
<thead>
<tr>
<th>Virtual Server 1</th>
<th>Virtual Server 2</th>
<th>File Server</th>
</tr>
</thead>
<tbody>
<tr>
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</table>
C. ROW Office Equipment

<table>
<thead>
<tr>
<th>Support Servers</th>
<th>PC Workstations</th>
<th>Printers</th>
<th>Scanners</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dell Power Edge T320 Intel E5-2420 v2 @ 2.20GHz 32 GB 48X CDRW/DVD IDE COMBO DRIVE 5 250GB SAS HD’s in RAID 5 w/ Global Spare PCI Ethernet GB</td>
<td></td>
<td>Label Printers - Intermec 7422 Intermec PC4 Intermec Pf8t Dymo Label-Writer 450</td>
<td></td>
</tr>
</tbody>
</table>

2.2.2 Existing Software

<table>
<thead>
<tr>
<th>Server Software</th>
<th>PC Workstation Software</th>
<th>Web Services</th>
<th>Development Software</th>
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</thead>
</table>
### Help Desk, Application and System Support

**Solicitation #: E00B9400036**

#### Server Software
- Microsoft Windows Storage Server 2012R2 Standard (Operating System)
- Microsoft Hyper-V (Virtual Machine Platform)
- Microsoft SQL Server 2014 (Database)
- Cloudberry Backup Server Edition (Backup to AWS)
- Highview V4.0 (Imaging Application)
- Image Converter Plus V9.0.520 (Image Format Conversions)

#### PC Workstation Software
- Highview V4.0 (Imaging Application)
- ROW V1.8.2.30 (Estate Application)

#### Web Services
- Microsoft Azure Active Directory Office 365 Cloud Services

#### Development Software
- Professional SAP Crystal Reports
- Developer SP16
- Microsoft .NET Framework 4.0, 4.5
- Microsoft C#, Windows Forms, ASP.NET

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<th>Server Software</th>
<th>PC Workstation Software</th>
<th>Web Services</th>
<th>Development Software</th>
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<tbody>
<tr>
<td>System)</td>
<td>Highview V4.0 (Imaging Application)</td>
<td>Microsoft Azure Active Directory Office 365 Cloud Services</td>
<td>Microsoft Windows Storage Server 2012R2 Standard (Operating System)</td>
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<tr>
<td>Microsoft</td>
<td>ROW V1.8.2.30 (Estate Application)</td>
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<td>Microsoft Hyper-V (Virtual Machine Platform)</td>
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<td>Windows Storage</td>
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<td>Microsoft SQL Server 2014 (Database)</td>
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<td>Server</td>
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<td>Cloudberry Backup Server Edition (Backup to AWS)</td>
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<td>2012R2 Standard</td>
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<td>Highview V4.0 (Imaging Application)</td>
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<td>Image Converter Plus V9.0.520 (Image Format Conversions)</td>
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<td>Machine Platform)</td>
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<td>Conversions)</td>
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#### 2.2.3 State Staff and Roles

In addition to the TO Procurement Officer, the contractor will interact with a TO Manager/State project manager who will be responsible for day-to-day direction for the TO contractor technical staff.

#### 2.2.4 Other State Responsibilities

A. The State will provide normal office working facilities and equipment reasonably necessary for TO Contractor performance under this Task Order. Any special requirements (e.g., reprographic services, computer time, and key data entry) shall be identified in the Offeror’s proposal.

B. The State is responsible for providing required information, data, documentation, and test data to facilitate the TO Contractor’s performance of the work, and will provide such additional assistance and services as is specifically set forth.

#### 2.3 Requirements

2.3.1 **Computer Programmer (Senior)**

2.3.1.1 Provide IT system, hardware and software support and maintenance for ROW IT existing systems.

2.3.1.2 Perform break fix of identified IT issues.
2.3.1.3 Provide support, management and installation services for desktop and server operating systems.

2.3.1.4 Provide maintenance and modifications to the application as directed, including the development of new functions and applications.

2.3.1.5 Manage software development and support using formal specifications, data flow diagrams, and other accepted design techniques and tools.

2.3.1.6 Interpret software requirements to develop design specifications, code, integrate, and test software components.

2.3.1.7 Develop requirements for existing ROW system including the definition, design, security requirements, programming and testing stages of development.

2.3.1.8 Develop project plans with milestones.

2.3.1.9 Develop and execute test plans.

2.3.1.10 Deploy, upgrade, configure and implement new, enhanced and upgraded applications for each of the twenty-five (25) ROW locations.

2.3.1.11 Provide software engineering support, including, but not limited to, planning, analysis, design, modification, evaluation, testing, quality assurance, and project management for all current and new applications. This will include enhancements and corrections to the functionality of the applications.

2.3.1.12 Work closely with other contractors to resolve issues between the applications.

2.3.1.13 Provide image transfer from the electronic document management system in the compatible file format acceptable to other state agencies. Must lead in the configuration, operation and deliverance of the replicated deliverables.

2.3.1.14 Provide maintenance and enhancements to the ROW website by developing web-based and/or eGovernment applications, as directed by ROW.

2.3.1.15 Develop and lead in the design, installation, configuration, and operation of the replication process for disaster recovery site implementation.

2.3.1.16 Conduct performance measurement and analysis leading to recommendations for improving network performance.

2.3.1.17 Conduct analysis, design, installation, configuration, and operation of the email software.

2.3.1.18 Work in cooperation with the other contractors, ROW staff, and other state agencies.

2.3.1.19 Troubleshoot existing code using standard practices.

2.3.1.20 Participate in regular team planning meeting to receive tasking and provide status.

2.3.1.21 Participate in monthly status meetings to include providing a monthly status.
2.3.2 Network Engineer, Senior

2.3.2.1 Work in cooperation with the other contractors, ROW staff and other state agencies.

2.3.2.2 Install and configure microcomputers, servers, storage devices, printers, scanners, communications devices, cabling, LAN drops and network equipment.

2.3.2.3 Deploy new state procured equipment and software to the existing network.

2.3.2.4 Create/restore workstation images.

2.3.2.5 Troubleshoot workstation network connectivity issues.

2.3.2.6 Troubleshoot issues regarding all hardware and software.

2.3.2.7 Install software/hardware on workstations, servers, as required.

2.3.2.8 Provide image transfer from the electronic document management system in the compatible file format acceptable to other state agencies. Must lead in the configuration, operation and deliverance of the replicated deliverables.

2.3.2.9 Provide maintenance and enhancements to the ROW website.

2.3.2.10 Develop and lead in the design, installation, configuration, and operation of the replication process for a disaster recovery site implementation.

2.3.2.11 Conduct performance measurement and analysis leading to recommendations for improving network performance.

2.3.2.12 Conduct analysis, design, installation, configuration, and operation of the email software.

2.3.2.13 Design, maintain and improve the structure of the ROW WAN and ROW LAN.

2.3.2.14 Configure network software and hardware for efficient and effective network performance and data security.

2.3.2.15 Monitor the performance of network software and hardware through network management and diagnostic programs and utilities.

2.3.2.16 Configure microcomputers, communications equipment, and network equipment for maximum efficiency.

2.3.2.17 Analyze records of microcomputer and network activity, recommend and implement software and hardware upgrades and improvements.

2.3.2.18 Diagnose software and hardware problems and make adjustments or coordinate service from software and hardware vendors and the State hardware maintenance vendor.

2.3.2.19 Provide expert technical advice and guidance to ROW regarding IT directions, software or hardware enhancements, and software or hardware purchase recommendations.
2.3.2.20 Deploy, upgrade and configure new and existing hardware and software in each of the 25 ROW locations, while incorporating testing and quality assurance measures in the process.

2.3.2.21 Aid with operational tasks such as file restores, volume configuration, print-related problems and other tasks normally handled by the ROW’s PC Administrator.

2.3.2.22 Troubleshoot failures in operational tasks and undertake corrective measures.

2.3.2.23 Capable of utilizing a secure remote access method for remote trouble-shooting and problem resolution.

2.3.2.24 Support secure remote access to computer systems and file transfers to and from ROW offices and other State agencies using Internet protocol.

2.3.2.25 Provide on-site/field service support and secure remote access statewide during Normal Business Hours, for the ROW Application, desktop software, server software, network systems, and other computer systems.

2.3.2.26 Manage the daily backup of the central ROW servers. Take corrective action when backups fail.

2.3.3 Work Order

The following requirements will be performed by additional resources, as identified via the work order process (Section 3.13)

2.3.3.1 Provide quality control and software assurance services.

2.3.3.2 Conduct performance measurement and evaluation activities to improve productivity and efficiency in the business process.

2.3.3.3 Troubleshoot tickets escalated from the helpdesk regarding application issues.

2.3.3.4 Develop new and update existing user manuals for applications developed, enhanced, and/or modified.

2.3.3.5 Develop training materials and conduct end-user technical training statewide.

2.3.3.6 Answer Service Desk calls and log each call into the Helpdesk Service system.

2.3.3.7 Review call history, assess the problem, resolve the problems, and provide documentation in the Helpdesk Service system for the Service Area One and Two, support teams and the clients.

2.3.3.8 Update Service Desk requests daily.

2.3.3.9 Prepare and assemble technical documentation for desktop, server and network software and hardware

2.3.3.10 Provide formal and informal training programs for microcomputer end users and network administrators (statewide), regional offices, the Comptroller of Maryland’s Information Technology Division in Annapolis, or at the vendor’s own facilities.

2.3.3.11 Develop user manuals for microcomputer hardware and software applications.
2.3.3.12 Provide “how to” support to end users and system administrators in the use of all hardware equipment installed in the ROW offices

2.3.3.13 Provide “how to” support to end users and system administrators in the use of operating system, server and desktop software applications

2.3.3.14 Utilize the centralized Help Desk as a central point of contact for the Registers offices to report problems with network, hardware, packaged software, the ROW Applications, and other applications developed and supported

2.3.4 Required Project Policies, Guidelines and Methodologies

The TO Contractor shall be required to comply with all applicable laws, regulations, policies, standards and guidelines affecting Information Technology projects, which may be created or changed periodically. Offeror is required to review all applicable links provided below and state compliance in its response.

It is the responsibility of the TO Contractor to ensure adherence and to remain abreast of new or revised laws, regulations, policies, standards and guidelines affecting project execution. These include, but are not limited to:

D. The TO Contractor shall follow project management methodologies consistent with the most recent edition of the Project Management Institute’s Project Management Body of Knowledge Guide; and
E. TO Contractor Personnel shall follow a consistent methodology for all Task Order activities.

2.4 Deliverables

2.4.1 Deliverable Submission

2.4.2 The following deliverables are anticipated:

A. Transition-In Plan
B. Weekly status report
C. Transition-Out Plan

2.4.3 Deliverable Descriptions/Acceptance Criteria

In addition to the items identified in the table below, the TO Contractor may suggest other subtasks, artifacts, or deliverables to improve the quality and success of the assigned tasks.

<table>
<thead>
<tr>
<th>ID #</th>
<th>Deliverable Description</th>
<th>Acceptance Criteria</th>
<th>Due Date / Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.4.1 A</td>
<td>Transition-In Plan</td>
<td>Microsoft Office Word</td>
<td>Draft due fifteen (15) Business days from NTP date. Final due thirty (30) Business days from</td>
</tr>
</tbody>
</table>
2.4.1 B  |  Weekly Status Reports  |  The TO Contractor shall provide a weekly progress report after the end of the prior week. At a minimum, the weekly progress report shall contain:
• TO Agreement number/Name,
• Work accomplished during the week for each of the following categories:
  1. Project Mgmt
  2. Help Desk Support
  3. ROW Maintenance & Development

|  |  | Initial Delivery: two (2) Business Days after prior week’s end |

2.4.1 C  |  Transition-Out Plan  |  Microsoft Office Word.  |  Draft due 120 Business days prior to end of Task Order.
Final due sixty (60) Business days prior to end of TO |

2.5 Change Orders

A. If the TO Contractor is required to perform work beyond the scope 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.

B. No scope of work changes shall be performed until a change order is approved by DoIT and executed by the TO Procurement Officer.

2.6 Service Level Agreement (SLA)

2.6.1 The State, in conjunction with the selected Offeror, intends to establish Service Level Agreements (SLAs) for the Help Desk, Application and System support for the ROW application.

2.6.2 It is important that the Offeror and the State enter into a contractual relationship that succinctly defines SLA agreements and commitments. It is the intent of this section to define the minimum SLA criteria that is required by the State. The Offeror shall detail in their Proposal its understanding of and compliance with the minimum SLA criteria, including how the Offeror will comply. The Offeror shall consider carefully the resources that will be required to meet these SLAs.

2.6.3 Weekly status reports will be used to verify and analyze Offeror conformance with the defined SLAs. The State shall have access to all reports purpose of SLA verification.
2.6.4 The Offeror’s Proposal shall describe how the Offeror will measure and report on each performance category below, on a monthly basis. Proposed measurement and reporting tools must be described, as well as how the State will receive the reports – e.g. via on-line access, CD-ROM, or other means.

2.6.5 System Availability

This SLA shall address performance of the ROW system availability. The system must be operational and available to customers 24 hours a day, 365 days per year. The only exception will be for pre-defined systems administration and maintenance. Individual applications may be unavailable based on the individual agency legacy application operational schedule. Scheduled downtime must be coordinated with and approved by the State with at least a seven (7) day advance notice prior to performing the scheduled downtime. Scheduled downtime must be scheduled during off-hours. The Offeror must describe its approach and experience on availability and the scheduling of routine maintenance downtime.

2.6.6 Security Management

This SLA shall address performance of security management. Security management includes all the components that make-up the security barriers to the application, data while being transmitted to or through the application and data available to the application. The security barriers may include firewalls, intrusion detection, virus protection, access control, authentication and other mechanism and techniques to ensure the system and data is protected.

2.6.7 Help Desk Support Services

The Offeror shall describe how it proposes to obtain measurements and report on an ongoing basis on the help desk support services performance experienced by customers from different locations within the State network. Performance management tools must provide an integrated and time-synchronized mechanism with which the State and the Contractor can monitor help desk support services. The Offeror must include a description of what automated tools will be employed and how on-line access to performance reports will be provided to the State.

2.6.8 Performance Monitoring and Problem Resolution

The Offeror shall describe its plans for performance monitoring and problem resolution. The Offeror shall describe procedures to be included for interfacing and consulting with software suppliers to identify and correct problems. The Contractor shall perform maintenance at times that will not adversely affect daily operations. The Contractor shall coordinate maintenance schedules and procedures based on the State’s requirements. The Offeror's plans for regularly performing normal and preventive software maintenance must be included in the proposal.

A. A “Problem” is defined as any situation or issue reported via a help desk ticket that is related to the system operation that is not an enhancement request.

B. “Problem resolution time” is defined as the period from when the help desk ticket is opened to when it is resolved.

<table>
<thead>
<tr>
<th>Service Priority</th>
<th>Response Time</th>
<th>Resolution Time</th>
<th>Response Availability</th>
<th>Work Outage</th>
<th>Users Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emergency</td>
<td>Less than 15 minutes</td>
<td>Within 2 hours of first report</td>
<td>24 hours per day, seven days per week</td>
<td>Major portions of the System are inaccessible Systems or users are unable to work, or to perform some portion of their job.</td>
<td>Users or internal system functionalities are impaired.</td>
</tr>
<tr>
<td>Service Priority</td>
<td>Response Time</td>
<td>Resolution Time</td>
<td>Response Availability</td>
<td>Work Outage</td>
<td>Users Affected</td>
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<tr>
<td>High</td>
<td>Less than 30 minutes</td>
<td>Within 4 hours after first report</td>
<td>•24 hours per day, seven days per week</td>
<td>Major portions of the System are inaccessible Systems or users are unable to work, or to perform some portion of their job.</td>
<td>Affects the majority of users to include public facing users Affects high profile users (i.e. executive management)</td>
</tr>
<tr>
<td>Normal</td>
<td>Within 2 hours</td>
<td>Within 1 day (24 hours) after first report. If the outage is not resolved, a resolution plan must be in place.</td>
<td>Mon-Fri, 7AM-7PM</td>
<td>Specific non-critical features are not operating as specified Systems or users are unable to perform a small portion of their job, but are able to complete most tasks.</td>
<td>Affects a number of users</td>
</tr>
<tr>
<td>Low</td>
<td>Within 2 hours</td>
<td>Within 3 days (72 hours) after first report. If the outage is not resolved, a resolution plan must be in place.</td>
<td>Mon-Fri, 7AM-7PM</td>
<td>Lower priority features that can be done manually are not operating as specified Often a request for service with ample lead-time.</td>
<td>Affects a number of users</td>
</tr>
</tbody>
</table>
3 TO Contractor Requirements: General

3.1 Task Order Initiation Requirements

TO Contractor shall schedule and hold a kickoff meeting within 10 Business Days of NTP Date. Key Personnel shall be available within thirty (30) days of NTP.

TO Contractor shall work with the current contractor and the ROW staff to define and document a complete Transition-in plan with the following:

A. A methodology of the major tasks involved in the implementation, the overall resources needed to support the implementation effort (such as hardware, software, facilities, materials, and personnel).

B. Ensure that all necessary knowledge, account accesses/passwords and materials for a smooth transition from the existing contractor are documented, understood and transferred to the new TO contractor.

C. Identify any assumptions, constraints, and dependencies as potential impacts on the transition

D. Ensure the completion of tasks and management of any unfinished work items (including open change requests, and known bug/issues); and

E. Identify any risk factors with the timing and the Transition-In schedule and transition process. The TO Contractor shall document any risk factors and suggest solutions.

F. Identify key TO Contractor personnel who will be members of the transition planning team with the listed roles and responsibilities.

G. List the major milestones which will be monitored, measured, and will indicate a successful transition.

3.2 End of Task Order Transition

The TO Contractor shall provide transition assistance as requested by the State to facilitate the orderly transfer of services to the State or a follow-on contractor, for a period up to 60 days prior to Task Order end date, or the termination thereof. Such transition efforts shall consist, not by way of limitation, of:

A. Provide additional services and/or support as requested to successfully complete the transition;

B. Maintain the services called for by the Task Order at the required level of proficiency;

C. Provide updated SOP documentation, as appropriate.

3.2.1 The TO Contractor shall work toward a prompt and timely transition, proceeding in accordance with the directions of the TO Manager. The TO Manager may provide the TO Contractor with additional instructions to meet specific transition requirements prior to the end of Task Order.

3.2.2 The TO Contractor shall ensure that all necessary knowledge and materials for the tasks completed are transferred to the custody of State personnel or a third party, as directed by the TO Manager.

3.2.3 The TO Contractor shall support end-of-Task Order transition efforts with technical and project support to include but not be limited to:
A. The TO Contractor shall provide a draft Transition-Out Plan 120 Business Days in advance of Task Order end date.

B. The Transition-Out Plan shall address at a minimum the following areas:
   1) Any staffing concerns/issues related to the closeout of the Task Order;
   2) Communications and reporting process between the TO Contractor, the ROW and the TO Manager;
   3) Security and system access review and closeout;
   4) Any hardware/software inventory or licensing including transfer of any point of contact for required software licenses to the ROW or designee (as appropriate);
   5) Knowledge transfer, to include:
      a) Plans to complete tasks and any unfinished work items (including open change requests, and known bug/issues); and
      b) Any risk factors with the timing and the Transition-Out schedule and transition process. The TO Contractor shall document any risk factors and suggested solutions.

3.3 Invoicing

3.3.1 Definitions

A. “Proper Invoice” means a bill, written document, or electronic transmission, readable by the agency, provided by a vendor requesting an amount that is due and payable by law under a written procurement contract for property received or services rendered that meets the requirements of COMAR 21.06.09.02.

B. “Late Payment” means any amount that is due and payable by law under a written procurement contract, without deferral, delay, or set-off under COMAR 21.02.07.03, and remains unpaid more than 45 days after an agency receives a Proper Invoice.

C. “Payment” includes all required processing and authorization by the Comptroller of Maryland, as provided under COMAR 21.02.07, and may be deferred, delayed, or set-off as applicable under COMAR 21.02.07.03.

3.3.2 General

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

B. The TO Contractor shall e-mail the original of each invoice and signed authorization to invoice to ITINVOICES@COMP.STATE.MD.US and copy the TO Manager.

C. All invoices for services shall be verified by the TO Contractor as accurate at the time of submission.

D. Invoices submitted without the required information cannot be processed for payment. A Proper Invoice, required as Payment documentation, must include the following information, without error:
   1) TO Contractor name and address;
   2) Remittance address;
3) Federal taxpayer identification (FEIN) number, social security number, as appropriate;
4) Invoice period (i.e. time period during which services covered by invoice were performed);
5) Invoice date;
6) Invoice number;
7) State assigned TO Agreement number;
8) State assigned (Blanket) Purchase Order number(s);
9) Goods or services provided;
10) Amount due; and
11) Any additional documentation required by regulation or the Task Order.

E. Invoices that contain both fixed price and time and material items shall clearly identify the items as either fixed price or time and material billing.

F. The ROW reserves the right to reduce or withhold Task Order payment in the event the TO Contractor does not provide the ROW with all required deliverables within the time frame specified in the Task Order or otherwise breaches the terms and conditions of the Task Order until such time as the TO Contractor brings itself into full compliance with the Task Order.

G. Any action on the part of the ROW, or dispute of action by the TO Contractor, shall be in accordance with the provisions of Md. Code Ann., State Finance and Procurement Article §§ 15-215 through 15-223 and with COMAR 21.10.04.

H. The State is generally exempt from federal excise taxes, Maryland sales and use taxes, District of Columbia sales taxes and transportation taxes. The TO Contractor, however, is not exempt from such sales and use taxes and may be liable for the same.

I. 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.

3.3.3 Invoice Submission Schedule

Invoices shall be submitted monthly and within 30 days of delivery of goods and services unless otherwise accepted in the TO Proposal or Work Order response.

3.3.4 Time and Materials Invoicing

3.3.4.1 Time Sheet Reporting

Within three (3) business days after the 15th and last day of the month, the TO Contractor shall submit a semi-monthly timesheet for the preceding half month providing data for all resources provided under the Task Order.

At a minimum, each semi-monthly timesheet shall show:

1) Title: “Time Sheet for <<xxxxx>>”
2) Issuing company name, address, and telephone number
3) For each employee /resource:
a) Employee / resource name

b) For each Period ending date, e.g., “Period Ending: mm/dd/yyyy” (Periods run 1st through 15th and 16th through last day of the month.
   i) Tasks completed that week and the associated deliverable names and ID#s
   ii) Number of hours worked each day
   iii) Total number of hours worked that Period
   iv) Period variance above or below 40 hours
   v) Annual number of hours planned under the Task Order
   vi) Annual number of hours worked to date
   vii) Balance of hours remaining
   viii) Annual variance to date (Sum of periodic variances)

4) Signature and date lines for the TO Manager

5) Time sheets shall be submitted to the TO Manager prior to invoicing. The TO Manager shall sign the timesheet to indicate authorization to invoice.

3.3.5 For the purposes of this Task Order an amount will not be deemed due and payable if:

A. The amount invoiced is inconsistent with the Task Order.
B. The proper invoice has not been received by the party or office specified in the Task Order.
C. The invoice or performance is in dispute or the TO Contractor has failed to otherwise comply with the provisions of the Task Order.
D. The item or services have not been accepted.
E. The quantity of items delivered is less than the quantity ordered.
F. The items or services do not meet the quality requirements of the Task Order
G. If the Task Order provides for progress payments, the proper invoice for the progress payment has not been submitted pursuant to the schedule.
H. If the Task Order provides for withholding a retainage and the invoice is for the retainage, not all stipulated conditions for release of the retainage have been met.
I. The TO Contractor has not submitted satisfactory documentation or other evidence reasonably required by the TO Procurement Officer or by the contract concerning performance under the contract and compliance with its provisions.

3.3.6 Travel Reimbursement

A. There shall be no reimbursement for Routine Travel. TO Contractor shall not be reimbursed for Non-Routine Travel without prior TO Manager approval.
B. Routine Travel is defined as travel within a 50-mile radius of the ROW’s base location, as identified in the TORFP, or the TO Contractor’s facility, whichever is closer to the consulting site. There will be no payment for labor hours for travel time or reimbursement for any travel expenses for work performed within these radiuses or at the TO Contractor’s facility.
C. Non-routine Travel is defined as travel beyond the 50-mile radius of ROW’s base location, as identified in the TORFP, or the TO Contractor’s facility, whichever is closer to the consulting site. Non-routine travel will be reimbursed according to the State’s travel regulations and reimbursement rates, which can be found at www.DBM.maryland.gov - search: Fleet Management. If non-routine travel is conducted by automobile, the first 50 miles of such travel will be treated as routine travel and as described in this section and will not be reimbursed. The TO Contractor may bill for labor hours expended in non-routine traveling beyond the identified 50-mile radius, only if so specified in the TORFP or Work Order.

3.3.7 Retainage

This solicitation does not require retainage.

3.4 Liquidated Damages

MBE Liquidated damages are identified in Attachment M.

This solicitation does not require additional liquidated damages.

3.5 Disaster Recovery and Data

The following requirements apply to the TO Agreement:

3.5.1 Redundancy, Data Backup and Disaster Recovery

A. Unless specified otherwise in the TORFP, TO Contractor shall maintain or cause to be maintained disaster avoidance procedures designed to safeguard State data and other confidential information, TO Contractor’s processing capability and the availability of hosted services, in each case throughout the TO Agreement term. Any force majeure provisions of this Task Order do not limit the TO Contractor’s obligations under this provision.

B. The TO Contractor shall have robust contingency and DR plans in place to ensure that the services provided under this TO Agreement will be maintained in the event of disruption to the TO Contractor/subcontractor’s operations (including, but not limited to, disruption to information technology systems), however caused.

C. The contingency and DR plans must be designed to ensure that services under this TO Agreement are restored after a disruption within twenty-four (24) hours from notification and a recovery point objective of one (1) hour or less prior to the outage in order to avoid unacceptable consequences due to the unavailability of services.

D. The TO Contractor shall test the contingency/DR plans at least twice annually to identify any changes that need to be made to the plan(s) to ensure a minimum interruption of service. Coordination shall be made with the State to ensure limited system downtime when testing is conducted. At least one (1) annual test shall include backup media restoration and failover / fallback operations at the DR location. The TO Contractor shall send TO Manager a notice of completion following completion of DR testing.

E. Such contingency and DR plans shall be available for the ROW to inspect and practically test at any reasonable time, and subject to regular updating, revising, and testing throughout the term of the TO Agreement.

3.5.2 Data Ownership and Access
A. Data, databases and derived data products created, collected, manipulated, or directly purchased as part of a TORFP shall become the property of the State. The purchasing State agency is considered the custodian of the data and shall determine the use, access, distribution and other conditions based on appropriate State statutes and regulations.

B. Public jurisdiction user accounts and public jurisdiction data shall not be accessed, except (1) in the course of data center operations, (2) in response to service or technical issues, (3) as required by the express terms of the Task Order, including as necessary to perform the services hereunder or (4) at the State’s written request.

C. The TO Contractor shall limit access to and possession of State data to only TO Contractor Personnel whose responsibilities reasonably require such access or possession and shall train such TO Contractor Personnel on the confidentiality obligations set forth herein.

D. At no time shall any data or processes – that either belong to or are intended for the use of the State or its officers, agents or employees – be copied, disclosed or retained by the Contractor or any party related to the Contractor for subsequent use in any transaction that does not include the State.

E. The Contractor shall not use any information collected in connection with the services furnished under this Contract for any purpose other than fulfilling such services.

3.5.3 Provisions in Sections 3.5.1 – 3.5.3 shall survive expiration or termination of the TO Agreement. Additionally, the TO Contractor shall flow down the provisions of Sections 3.5.1-3.5.3 (or the substance thereof) in all subcontracts.

3.6 Insurance Requirements

3.6.1 Offeror shall confirm that, as of the date of its proposal, the insurance policies incorporated into its Master Contract are still current and effective at the required levels (See Master Contract Section 2.7).

3.6.2 The Offeror shall also confirm that any insurance policies intended to satisfy the requirements of this TORFP are issued by a company that is licensed to do business in the State of Maryland.

3.6.3 The recommended awardee must provide a certificate(s) of insurance with the prescribed coverages, limits and requirements set forth in this Section 3.6 “Insurance Requirements” within five (5) Business Days from notice of recommended award. During the period of performance for multi-year contracts the TO Contractor shall update certificates of insurance annually, or as otherwise directed by the TO Manager.

3.6.4 Cyber Risk/Data Breach Insurance

The Contractor shall possess and maintain throughout the term of the awarded contract and for three (3) years thereafter, Cyber Risk/ Data Breach insurance (either separately or as part of a broad Professional Liability or Errors and Omissions Insurance) with limits of at least US $ five million (5,000,000) per claim. Any “insured vs. insured” exclusions will be modified accordingly to allow the State additional insured status without prejudicing the State’s rights under the policy (ies). Coverage shall be sufficiently broad to respond to the Contractor’s duties and obligations under the Contract and shall include, but not be limited to, claims involving privacy violations, information theft, damage to or destruction of electronic information, release of Sensitive Data, and alteration of electronic information, extortion and network security. The policy shall provide coverage for, not by way of limitation, breach response costs as well as regulatory fines and penalties as well as credit monitoring expenses with limits sufficient to respond to these obligations.
3.7 Security Requirements

3.7.1 Employee Identification

A. TO Contractor Personnel shall display his or her company ID badge in a visible location at all times while on State premises. Upon request of authorized State personnel, each such TO Contractor Personnel shall provide additional photo identification.

B. TO Contractor Personnel shall cooperate with State site requirements, including but not limited to, being prepared to be escorted at all times, and providing information for State badge issuance.

C. TO Contractor shall remove any TO Contractor Personnel from working on the Task Order where the State determines, in its sole discretion, that said TO Contractor Personnel has not adhered to the Security requirements specified herein.

D. The State reserves the right to request that the TO Contractor submit proof of employment authorization of non-United States Citizens, prior to commencement of work under the Task Order.

E. Unless otherwise specified, the cost of complying with all security requirements specified herein are the sole responsibility and obligation 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.

3.7.2 Criminal Background Checks

A. Criminal background checks for any TO Contractor Personnel providing on-site services/roles shall be completed prior to each TO Contractor Personnel providing any services under the Task Order.

B. The TO Contractor shall obtain at its own expense a Criminal Justice Information System (CJIS) State and federal criminal background check, including fingerprinting, for all Contractor Personnel listed in sub-paragraph A. This check may be performed by a public or private entity.

C. The CJIS criminal record check of each Contractor Personnel who will work on State premises shall be reviewed by the Contractor for convictions of any of the following crimes described in the Annotated Code of Maryland, Criminal Law Article:

1) §§ 6-101 through 6-104, 6-201 through 6-205, 6-409 (various crimes against property);
2) any crime within Title 7, Subtitle 1 (various crimes involving theft);
3) §§ 7-301 through 7-303, 7-313 through 7-317 (various crimes involving telecommunications and electronics);
4) §§ 8-201 through 8-302, 8-501 through 8-523 (various crimes involving fraud);
5) §§9-101 through 9-417, 9-601 through 9-604, 9-701 through 9-706.1 (various crimes against public administration); or
6) a crime of violence as defined in CL § 14-101(a).
D. TO Contractor Personnel with access to systems supporting the State or to State data who have been convicted of a felony or of a crime involving telecommunications and electronics from the above list of crimes shall not be permitted to work on State premises under this Task Order; TO Contractor Personnel who have been convicted within the past five (5) years of a misdemeanor from the above list of crimes shall not be permitted to work on State premises.

E. The Contractor shall provide certification to the Department that the TO Contractor has completed the required criminal background check described in this RFP for each required Contractor Personnel prior to assignment, and that the Contractor Personnel have successfully passed this check.

F. Persons with a criminal record may not perform services under this Task Order unless prior written approval is obtained from the TO Manager. The TO Manager reserves the right to reject any individual based upon the results of the background check. Decisions of the TO Manager as to acceptability of a candidate are final. The State reserves the right to refuse any individual Contractor Personnel to work on State premises, based upon certain specified criminal convictions, as specified by the State.

G. A particular on-site location covered by this Contract may require more restrictive conditions regarding the nature of prior criminal convictions that would result in Contractor Personnel not being permitted to work on those premises. Upon receipt of a location’s more restrictive conditions regarding criminal convictions, the Contractor shall provide an updated certification regarding the Contractor Personnel working at or assigned to those premises.

3.7.3 On-Site Security Requirement(s)

A. For the conditions noted below, TO Contractor Personnel may be barred from entrance or leaving any site until such time that the State’s conditions and queries are satisfied.

1) TO Contractor Personnel may be subject to random security checks when entering and leaving State secured areas. The State reserves the right to require TO Contractor Personnel to be accompanied while in secured premises.

2) Some State sites, especially those premises of the Department of Public Safety and Correctional Services, require each person entering the premises to document and inventory items (such as tools and equipment) being brought onto the site, and to submit to a physical search of his or her person. Therefore, TO Contractor Personnel shall always have available an inventory list of tools being brought onto a site and be prepared to present the inventory list to the State staff or an officer upon arrival for review, as well as present the tools or equipment for inspection. Before leaving the site, the TO Contractor Personnel will again present the inventory list and the tools or equipment for inspection. Upon both entering the site and leaving the site, State staff or a correctional or police officer may search TO Contractor Personnel. Depending upon facility rules, specific tools or personal items may be prohibited from being brought into the facility.
B. Any TO Contractor Personnel who enters the premises of a facility under the jurisdiction of the ROW may be searched, fingerprinted (for the purpose of a criminal history background check), photographed and required to wear an identification card issued by the ROW.

C. Further, TO Contractor Personnel shall not violate Md. Code Ann., Criminal Law Art. Section 9-410 through 9-417 and such other security policies of the agency that controls the facility to which the TO Contractor Personnel seeks access. The failure of any of the TO Contractor Personnel to comply with any provision of the TO Agreement is sufficient grounds for the State to immediately terminate the TO Agreement for default.

3.7.4 Information Technology

The TO Contractor shall:

A. Implement Administrative, physical, and technical safeguards to protect State data that are no less rigorous than accepted industry best practices for information security such as those listed below (see Section 3.7.5);

B. Ensure that all such safeguards, including the manner in which State data is collected, accessed, used, stored, processed, disposed of and disclosed, comply with applicable data protection and privacy laws as well as the terms and conditions of the TO Agreement; and

C. The TO Contractor, and TO Contractor Personnel, shall (i) abide by all applicable federal, State and local laws, rules and regulations concerning security of Information Systems and Information Technology and (ii) comply with and adhere to the State IT Security Policy and Standards as each may be amended or revised from time to time. Updated and revised versions of the State IT Policy and Standards are available online at: www.doit.maryland.gov – keyword: Security Policy.

3.7.5 Data Protection and Controls

A. TO Contractor shall ensure a secure environment for all State data and any hardware and software (including but not limited to servers, network and data components) to be provided or used in connection with the performance of the TO Agreement and shall apply or cause application of appropriate controls so as to maintain such a secure environment (“Security Best Practices”). Such Security Best Practices shall comply with an accepted industry standard, such as the NIST cybersecurity framework.

B. To ensure appropriate data protection safeguards are in place, the TO Contractor shall implement and maintain the following controls at all times throughout the term of the TO Agreement (the TO Contractor may augment this list with additional controls):

1) Establish separate production, test, and training environments for systems supporting the services provided under this TO Agreement and ensure that production data is not replicated in test and/or training environment(s) unless it has been previously anonymized or otherwise modified to protect the confidentiality of Sensitive Data elements. The TO Contractor shall ensure the appropriate separation of production and non-production environments by applying the data protection and control requirements listed in Section 3.7.5.
2) Apply hardware and software hardening procedures as recommended by Center for Internet Security (CIS) guides [https://www.cisecurity.org/](https://www.cisecurity.org/), Security Technical Implementation Guides (STIG) [http://iase.disa.mil/Pages/index.aspx](http://iase.disa.mil/Pages/index.aspx), or similar industry best practices to reduce the TO Contractor/subcontractor’s systems’ surface of vulnerability, eliminating as many security risks as possible and documenting what is not feasible and/or not performed according to best practices. Any hardening practices not implemented shall be documented with a plan of action and milestones including any compensating control. These procedures may include but are not limited to removal of unnecessary software, disabling or removing unnecessary services, removal of unnecessary usernames or logins, and the deactivation of unneeded features in the TO Contractor/subcontractor’s system configuration files.

3) Ensure that State data is not comingled with non-State data through the proper application of compartmentalization security measures.

4) Apply data encryption to protect Sensitive Data at all times, including in transit, at rest, and when archived for backup purposes. Unless otherwise directed, the TO Contractor is responsible for the encryption of all Sensitive Data.

5) For all State data the TO Contractor manages or controls, data encryption shall be applied to such data in transit over untrusted networks. Encryption algorithms which are utilized for encrypting data shall comply with current Federal Information Processing Standards (FIPS), “Security Requirements for Cryptographic Modules”, FIPS PUB 140-2:


6) Enable appropriate logging parameters to monitor user access activities, authorized and failed access attempts, system exceptions, and critical information security events as recommended by the operating system and application manufacturers and information security standards, including Maryland Department of Information Technology’s Information Security Policy.

7) Retain the aforementioned logs and review them at least daily to identify suspicious or questionable activity for investigation and documentation as to their cause and remediation, if required. The ROW shall have the right to inspect these policies and procedures and the TO Contractor or subcontractor’s performance to confirm the effectiveness of these measures for the services being provided under this TO Agreement.

8) Ensure system and network environments are separated by properly configured and updated firewalls.

9) Restrict network connections between trusted and untrusted networks by physically and/or logically isolating systems from unsolicited and unauthenticated network traffic.

10) By default, “deny all” and only allow access by exception.

11) Review at least annually the aforementioned network connections, documenting and confirming the business justification for the use of all service, protocols, and ports allowed, including the rationale or compensating controls implemented for those protocols considered insecure but necessary.
12) Perform regular vulnerability testing of operating system, application, and network devices. Such testing is expected to identify outdated software versions; missing software patches; device or software misconfigurations; and to validate compliance with or deviations from the security policies applicable to this TO Agreement. TO Contractor shall evaluate all identified vulnerabilities for potential adverse effect on security and integrity and remediate the vulnerability no later than 30 days following the earlier of vulnerability’s identification or public disclosure, or document why remediation action is unnecessary or unsuitable. The ROW shall have the right to inspect the TO Contractor’s policies and procedures and the results of vulnerability testing to confirm the effectiveness of these measures for the services being provided under this TO Agreement.

13) Enforce strong user authentication and password control measures to minimize the opportunity for unauthorized access through compromise of the user access controls. At a minimum, the implemented measures should be consistent with the most current Maryland Department of Information Technology’s Information Security Policy (http://doit.maryland.gov/support/Pages/SecurityPolicies.aspx), including specific requirements for password length, complexity, history, and account lockout.

14) Ensure State Data is not processed, transferred, or stored outside of the United States (“U.S.”). The TO Contractor shall provide its services to the State and the State’s end users solely from data centers in the U.S. Unless granted an exception in writing by the State, the TO Contractor shall not allow TO Contractor Personnel to store State data on portable devices, including personal computers, except for devices that are used and kept only at its U.S. data centers. The TO Contractor shall permit TO Contractor Personnel to access State data remotely only as required to provide technical support.

15) Ensure TO Contractor’s Personnel shall not connect any of its own equipment to a State LAN/WAN without prior written approval by the State, which may be revoked at any time for any reason. The TO Contractor/subcontractor shall complete any necessary paperwork as directed and coordinated with the TO Agreement Monitor to obtain approval by the State to connect TO Contractor/subcontractor-owned equipment to a State LAN/WAN.

16) Ensure that anti-virus and anti-malware software is installed and maintained on all systems supporting the services provided under this TO Agreement; that the anti-virus and anti-malware software is automatically updated; and that the software is configured to actively scan and detect threats to the system for remediation. The TO Contractor shall perform routine vulnerability scans and take corrective actions for any findings.
17) Conduct regular external vulnerability testing designed to examine the service provider’s security profile from the Internet without benefit of access to internal systems and networks behind the external security perimeter. Evaluate all identified vulnerabilities on Internet-facing devices for potential adverse effect on the service’s security and integrity and remediate the vulnerability promptly or document why remediation action is unnecessary or unsuitable. The ROW shall have the right to inspect these policies and procedures and the performance of vulnerability testing to confirm the effectiveness of these measures for the services being provided under this TO Agreement.

3.7.6 Security Incident Response

A. The TO Contractor shall notify the ROW in accordance with Section 3.7.7 when any TO Contractor system that may access, process, or store State data or State systems experiences a Security Incident or a Data Breach as follows:

1) notify the RW ROW within twenty-four (24) hours of the discovery of a Security Incident by providing notice via written or electronic correspondence to the TO Manager, ROW chief information officer and ROW chief information security officer;

2) notify the ROW within two (2) hours if there is a threat to TO Contractor’s Solution as it pertains to the use, disclosure, and security of State data; and

3) provide written notice to the ROW within one (1) Business Day after TO Contractor’s discovery of unauthorized use or disclosure of State data and thereafter all information the State (or ROW) requests concerning such unauthorized use or disclosure.

B. TO Contractor’s notice shall identify:

1) the nature of the unauthorized use or disclosure;

2) the State data used or disclosed,

3) who made the unauthorized use or received the unauthorized disclosure;

4) what the TO Contractor has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure; and

5) what corrective action the TO Contractor has taken or shall take to prevent future similar unauthorized use or disclosure.

6) The TO Contractor shall provide such other information, including a written report, as reasonably requested by the State.

C. The TO Contractor may need to communicate with outside parties regarding a Security Incident, which may include contacting law enforcement, fielding media inquiries and seeking external expertise as mutually agreed upon, defined by law or contained in the TO Agreement. Discussing Security Incidents with the State should be handled on an urgent as-needed basis, as part of TO Contractor communication and mitigation processes as mutually agreed upon, defined by law or contained in the TO Agreement.
D. The Contractor shall comply with all applicable laws that require the notification of individuals in the event of unauthorized release of State data or other event requiring notification, and, where notification is required, assume responsibility for informing all such individuals in accordance with applicable law and to indemnify and hold harmless the State (or ROW) and its officials and employees from and against any claims, damages, and actions related to the event requiring notification.

3.7.7 Data Breach Responsibilities

A. If the TO Contractor reasonably believes or has actual knowledge of a Data Breach, the TO Contractor shall, unless otherwise directed:

1) Notify the appropriate State-identified contact within 24 hours by telephone in accordance with the agreed upon security plan or security procedures unless a shorter time is required by applicable law;

2) Cooperate with the State to investigate and resolve the data breach;

3) Promptly implement commercially reasonable remedial measures to remedy the Data Breach; and

4) Document responsive actions taken related to the Data Breach, including any post-incident review of events and actions taken to make changes in business practices in providing the services.

B. If a Data Breach is a direct result of the TO Contractor’s breach of its TO Agreement obligation to encrypt State data or otherwise prevent its release, the TO Contractor shall bear the costs associated with (1) the investigation and resolution of the data breach; (2) notifications to individuals, regulators or others required by State law; (3) a credit monitoring service required by State or federal law; (4) a website or a toll-free number and call center for affected individuals required by State law; and (5) complete all corrective actions as reasonably determined by TO Contractor based on root cause; all [(1) through (5)] subject to the TO Agreement’s limitation of liability.

3.7.8 Provisions in Sections 3.7.1 – 3.7.10 shall survive expiration or termination of the TO Agreement. Additionally, the TO Contractor shall flow down the provisions of Sections 3.7.4-3.7.12 (or the substance thereof) in all subcontracts.

3.8 SOC 2 Type 2 Audit Report

A SOC 2 Type Audit is no required for this solicitation.

3.9 Performance and Personnel

3.9.1 ROLES AND RESPONSIBILITIES

Personnel roles and responsibilities under the Task Order:

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 Task Order. 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 Task Order over the course of the Task Order period of performance.

F. **Key Personnel** – A subset of TO Contractor Personnel whose departure during the performance period will have, in the State’s opinion, a substantial negative impact on Task Order 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 Task Order award.

### 3.9.2 Offeror Experience

The following experience is expected and will be evaluated as part of the TO Technical Proposal (see the Offeror experience, capability and references evaluation factor from Section 6.2):

Demonstrate two (2) successful contractual completions/experiences providing consulting, technical services and helpdesk support to financial and tax institutions of similar size, scope and frequency, for at least five (5) years.

### 3.9.3 Personnel Experience

The following preferred experience will be evaluated as part of the TO Technical Proposal (see the capability of proposed resources evaluation factor from Section 6.2).

A. **Computer Programmer (Senior)**
   
   1) Ten (10) years’ experience in providing application development support in a multi-user, LAN-based, Microsoft Windows environment.
   
   2) Five (5) years’ experience with Microsoft Visual Studio 2015 Professional Edition suite with Visual C# development programming platforms & utilities;
   
   3) Five (5) years’ experience installing, configuring, operating, managing, and troubleshooting problems with the Highview Imaging Application
   
   4) Five (5) years’ experience in providing help desk/application support services to a minimum of 300 users.

B. **Network Engineer**

   1) Minimum of ten (10) years’ experience in providing application development support in a multi-user, LAN-based, Microsoft Windows environment.

   2) Five (5) years’ experience with Amazon Web Services / backups
3) Ten (10) years’ experience installing, configuring and supporting Microsoft Windows 7/10Pro, Office 2013-2019 and Office 365 cloud services.

4) Five (5) years’ experience providing remote and on-site support of hardware and packaged software over a WAN.

5) Five (5) years’ experience designing, installing, configuring, operating, managing, and troubleshooting problems on a WAN consisting of Cisco routers and switches.

6) Five (5) years’ experience installing, configuring, operating, managing, and troubleshooting problems with the Highview Imaging Application

7) Five (5) years’ experience in providing help desk/application support services to a minimum of 300 users.

3.9.4 Number of Personnel to Propose

As part of the TO Proposal evaluation, Offerors shall propose exactly four (4) Key personnel who are expected to be available as per Section 3.1. Offerors shall describe in a Staffing Plan how additional resources shall be acquired to meet the needs of the ROW. Offerors may generally describe planned positions in a Staffing Plan. Such planned positions may not be used as evidence of fulfilling personnel minimum qualifications.

3.9.5 Labor Categories

A. The Labor Categories are identified and described below. To be responsive to this TORFP, Offerors must be capable of providing and meeting the minimum qualifications for all the labor categories listed. Offerors shall submit a TO Financial Proposal Form (Attachment B) that provides labor rates for all labor categories for all Task Order years (initial term and any option periods). Actual resumes shall be provided only for Key Personnel as described in Section 1. Resumes for resources provided later shall be coordinated by the TO Manager per the TO Technical Proposal and, if requested in a Work Order, shall be governed by the Work Order process.

1) Computer Programmer Senior (Key)

2) Network Engineer Senior (Key)

3) Computer Programmer Junior

4) Help Desk Manager

5) Computer Specialist

6) Quality Assurance Specialist

7) Helpdesk Specialist Senior

8) Training Specialist / Instructor

9) Technical Writer / Editor

B. Each Labor Category includes Titles, Position Description, Education and Experience (General and Specialized).

C. Education and experience described below constitute the minimum qualifications for candidates proposed in response to a TORFP. All experience required must have occurred within the most recent ten (10) years.
D. TO Contractor Personnel Experience (including Key Personnel submitted in response to this TORFP).

3.9.6 Substitution of Education for Experience

A Bachelor’s Degree or higher may be substituted for the general and specialized experience for those labor categories requiring a High School Diploma. A Master’s Degree may be substituted for two years of the general and specialized experience for those labor categories requiring a Bachelor’s Degree. Substitution shall be reviewed and approved by the State at its discretion.

3.9.7 Substitution of Experience for Education

A. Substitution of experience for education may be permitted at the discretion of the State.
B. Substitution of Professional Certificates for Experience:
C. Professional certification (e.g., Microsoft Certified Solutions Expert, SQL Certified Database Administrator) may be substituted for up to two (2) years for general and specialized experience at the discretion of the State.

3.9.8 TO Contractor Personnel Maintain Certifications

Any TO Contractor Personnel provided under this TORFP shall maintain in good standing any required professional certifications for the duration of the TO Agreement.

3.9.9 Work Hours

A. Business Hours Support: TO Contractor shall assign TO Contractor Personnel to support Normal State Business Hours (see definition in Appendix 1).
B. TO Contractor Personnel may also be required to provide occasional support outside of normal State Business Hours, including evenings, overnight, and weekends, to support specific efforts and emergencies, such as to resolve system repair or restoration. Hours performing activities would be billed on an actual time worked basis at the rates proposed.
C. Scheduled non-Business Hours Support: Once personnel have demonstrated an understanding of the COM infrastructure, they may be required to participate in a rotating emergency on-call schedule, providing non-Business Hours support.
D. State-Mandated Closings: TO Contractor Personnel shall be required to participate in any State-mandated closings. In this event, the TO Contractor will be notified in writing by the TO Manager of these details.
E. Minimum and Maximum Hours: Full-time TO Contractor Personnel shall work 40 hours per week with starting and ending times as approved by the TO Manager. A flexible work schedule may be used with TO Manager approval, including time to support any efforts outside core business hours. TO Contractor Personnel may also be requested to restrict the number of hours TO Contractor personnel can work within a given period of time that may result in less than an eight-hour day or less than a 40-hour work week.
F. Vacation Hours: Requests for leave shall be submitted to the TO Manager at least two weeks in advance. The TO Manager reserves the right to request a temporary replacement if leave extends longer than one consecutive week. In cases where there is insufficient coverage, a leave request may be denied.
3.10 Substitution of Personnel

3.10.1 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 ROW, 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 3.10.1.B.

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.

3.10.2 Substitution Prior to and 30 Days After Task Order Execution

A. 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.
B. 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.

3.10.3 Substitution More Than 30 Days After Task Order Execution

The procedure for substituting personnel after Task Order execution 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 period established by the TO Manager, the TO Agreement may be cancelled.

3.11 Minority Business Enterprise (MBE) Reports

3.11.1 MBE PARTICIPATION REPORTS

The ROW will monitor both the TO Contractor’s efforts to achieve the MBE participation goal and compliance with reporting requirements.

3.11.2 Monthly reporting of MBE participation is required in accordance with the terms and conditions of the CATS+ Master Contract.

A. The TO Contractor shall submit the following reports by the 15th of each month to the ROW at the same time the invoice copy is sent:

1) A Prime Contractor Paid/Unpaid MBE Invoice Report (Attachment D-4A) listing any unpaid invoices, over 45 days old, received from any certified MBE subcontractor, the amount of each invoice and the reason payment has not been made; and

2) (If Applicable) An MBE Prime Contractor Report (Attachment D-4B) identifying an MBE prime’s self-performing work to be counted towards the MBE participation goals.

3.11.3 The TO Contractor shall ensure that each MBE subcontractor provides a completed Subcontractor Paid/Unpaid MBE Invoice Report (Attachment D-5) by the 15th of each month.

3.11.4 Subcontractor reporting shall be sent directly from the subcontractor to the ROW. The TO Contractor shall e-mail all completed forms, copies of invoices and checks paid to the MBE directly to the TO Manager.

3.12 Veteran Small Business Enterprise (VSBE) Reports

There is no VSBE Goal for this Task Order.

3.13 Work Orders
B. Additional resources will be provided via a Work Order process. Work shall not begin in advance of a fully executed Work Order. A Work Order may be issued for time and materials (T&M) pricing. T&M Work Orders will be issued in accordance with pre-approved Labor Categories with the fully loaded rates proposed in Attachment B.

C. The TO Manager shall e-mail a Work Order Request (See sample at http://doit.maryland.gov/contracts/Documents/CATSPlus/CATS+WorkOrderSample.pdf) 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, and
4) Required place(s) where work must be performed

D. 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 using the format provided (see online sample).
3) A description of proposed resources required to perform the requested tasks, with labor categories listed in accordance with Attachment B.
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
6) The proposed personnel resources, including any subcontractor personnel, to complete the task.

E. For a T&M Work Order, the TO Manager will review the response and will confirm the proposed labor rates are consistent with this TORFP. For a fixed price Work Order, the TO Manager will review the response and will confirm the proposed prices are acceptable.

F. 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 Agreement and a determination whether a change order is appropriate. Written TO Procurement Officer approval is required before Work Order execution by the State.

G. Proposed personnel on any type of Work Order shall be subject to ROW approval. The TO Contractor shall furnish resumes of proposed personnel specifying the labor category(ies) proposed. 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.

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

3.14 Additional Clauses
The TO Contractor shall be subject to the requirements in this section in all subcontracts.

3.14.1 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, including but not limited to:

A. Custom Software, Custom Source Code, Data;
B. Hardware and software costs procured as part of the TORFP cannot exceed 49 percent of the total Task Order value;
C. Material costs shall be passed through with no mark-up by the TO Contractor;
D. No-Visual Access
E. By responding to this TORFP and accepting a Task Order award, an Offeror specifically agrees that for any software, hardware or hosting service that it proposes for use by the State in response to this TORFP, the State will have the right to purchase from another source, instead of from the selected Offeror.

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

3.14.3 Contract Management Oversight Activities

A. 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 Task Orders under CATS+. This process typically applies to active TOs for operations and maintenance services valued at $1 million or greater, but all CATS+ Task Orders are subject to review.

B. A sample of the TO Contractor Self-Reporting Checklist is available on the CATS+ website at http://doit.maryland.gov/contracts/Documents/CATSPlus/CATS+Self-ReportingChecklistSample.pdf. DoIT may send initial checklists out to applicable/selected TO Contractors approximately three months after the award date for a Task Orders. 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.

C. State Finance and Procurement Article, Md. Code Ann. § 14-414, requires State agencies purchasing computers and other electronic products in categories covered by EPEAT to purchase models rated EPEAT Silver or Gold unless the requirement is waived by the DoIT. This information is located on the DGS web site: http://www.dgs.maryland.gov/GreenOperations/GreenPurchasing/Guidelines/specs/ElectronicandITProductsSpecification.pdf.

D. Guidelines provided by DGS require planning and coordination of the proper disposition of Information Technology equipment. State Finance and Procurement Article, Md. Code Ann. § 14-415, requires State agencies awarding contracts for services to recycle electronic products to award the contract to a recycler that is R2 or e-Stewards certified. This information is located on the DGS web site: http://www.dgs.maryland.gov/GreenOperations/GreenPurchasing/Guidelines/specs/ElectronicProductDisposalSpecification.pdf.
E. Guidelines provided by DoIT discuss information and guidance on the proper disposition of IT equipment, media sanitization, and protecting confidential information stored on media. This information is located in the State's Information Technology (IT) Security Policy [http://doit.maryland.gov/support/pages/securitypolicies.aspx](http://doit.maryland.gov/support/pages/securitypolicies.aspx). Section 6.5 Media Protection provides guidance on proper precautions to protect confidential information stored on media.

3.14.4 Change Control and Advance Notice

A. Unless otherwise specified in an applicable Service Level Agreement, the Contractor shall give seven (7) days advance notice to the State of any upgrades or modifications that may affect service availability and performance.

B. Contractor may not modify the functionality or features of any SaaS provided hereunder if such modification materially degrades the functionality of the SaaS.

3.14.5 No-Cost Extensions

In the event there are unspent funds remaining on the TO Agreement, prior to the TO’s expiration date the TO Procurement Officer may modify the TO Agreement to extend the TO Agreement beyond its expiration date for the performance of work within the TO’s scope of work. Notwithstanding anything to the contrary, no funds may be added to the TO Agreement in connection with any such extension.

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4 TORFP Instructions

4.1 TO Pre-Proposal Conference

4.1.1 A TO pre-proposal conference (Conference) will be held at the date, time, and location indicated on the Key Information Summary Sheet.

4.1.2 Attendance at the Conference is not mandatory, but all interested parties are encouraged to attend in order to facilitate better preparation of their proposals.

4.1.3 Following the Conference, the attendance record and summary of the Conference will be distributed via e-mail to all Master Contractors known to have received a copy of this TORFP.

4.1.4 Attendees should bring a copy of the solicitation and a business card to help facilitate the sign-in process.

4.1.5 In order to assure adequate seating and other accommodations at the Conference, please e-mail the Pre-Proposal Conference Response Form (Attachment A) no later than the time and date indicated on the form. In addition, if there is a need for sign language interpretation and/or other special accommodations due to a disability, please notify the TO Procurement Officer at least five (5) business days prior to the Conference date. The ROW will make a reasonable effort to provide such special accommodation.

4.1.6 Seating at the Conference will be limited to two (2) attendees per company.

4.2 Questions

4.2.1 All questions shall identify in the subject line the Solicitation Number and Title (E00B9400036 Help Desk, Application and System Support) and shall be submitted in writing via e-mail to the TO Procurement Officer no later than the date and time specified the Key Information Summary Sheet.

4.2.2 Answers to all questions that are not clearly specific only to the requestor will be provided to all Master Contractors who are known to have received a copy of the TORFP.

4.2.3 The statements and interpretations contained in responses to any questions, whether responded to verbally or in writing, are not binding on the ROW unless it issues an amendment in writing.

4.3 TO Proposal Due (Closing) Date and Time

4.3.1 TO Proposals, in the number and form set forth in Section 5 TO Proposal Format, must be received by the TO Procurement Officer no later than the TO Proposal due date and time indicated on the Key Information Summary Sheet in order to be considered.

4.3.2 Requests for extension of this date or time shall not be granted.

4.3.3 Offerors submitting TO Proposals should allow sufficient delivery time to ensure timely receipt by the TO Procurement Officer. Except as provided in COMAR 21.05.03.02.F and 21.05.02.10, TO Proposals received after the due date and time listed in the Key Information Summary Sheet will not be considered.

4.3.4 The date and time of a delivery is determined by the date and time of arrival in the address indicated on the Key Information Summary Sheet.

4.3.5 TO Proposals may be modified or withdrawn by written notice received by the TO Procurement Officer before the time and date set forth in the Key Information Summary Sheet for receipt of TO Proposals.
4.4 Award Basis

Based upon an evaluation of TO Proposal responses as provided in Section 6.4, below, a Master Contractor will be selected to conduct the work defined in Sections 2 and 3. A specific TO Agreement, Attachment M, 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.

4.5 Oral Presentation

Master Contractors and proposed TO Contractor Personnel may be required to make an oral presentation to State representatives. Master Contractors must confirm in writing any substantive oral clarification of, or change in, their Proposals made in the course of discussions. Any such written clarifications or changes then become part of the Master Contractor’s TO Proposal.

The TO Procurement Officer will notify Master Contractors of the time and place of oral presentations and interviews, should interviews be scheduled separately.

4.5.1 Down-Select Procedure

In the event that more than ten (10) qualified TO Proposals are received, the TO Procurement Officer may elect to follow a down-select process prior to oral presentations as follows.

An initial technical ranking will be performed for all TO Proposals based on the resumes submitted. TO Proposals will be ranked from highest to lowest for technical merit based on the quality of the resumes submitted and the extent to which the proposed individuals’ qualifications align with the position needs as described in this TORFP.

The Master Contractors and proposed TO Contractor Personnel that submitted the top ten (10) TO Proposals identified by the initial technical ranking will be invited to oral presentation interviews. All other Master Contractors will be notified of non-selection for this TORFP.

4.6 Limitation of Liability

The TO Contractor’s liability is limited in accordance with the Limitations of Liability section of the CATS+ Master Contract. TO Contractor’s liability for this TORFP is limited to one (1) times the total TO Agreement amount.

4.7 MBE Participation Goal

4.7.1 A Master Contractor that responds to this TORFP shall complete, sign, and submit all required MBE documentation at the time of TO Proposal submission (See Attachment D Minority Business Enterprise Forms). Failure of the Master Contractor to complete, sign, and submit all required MBE documentation at the time of TO Proposal submission will result in the State’s rejection of the Master Contractor’s TO Proposal.

4.7.2 In 2014, Maryland adopted new regulations as part of its Minority Business Enterprise (MBE) program concerning MBE primes. Those new regulations, which became effective June 9, 2014 and are being applied to this task order, provide that when a certified MBE firm participates as a prime contractor on a contract, an agency may count the distinct, clearly defined portion of the work of the contract that the certified MBE firm performs with its own forces toward fulfilling up to fifty-percent (50%) of the MBE participation goal (overall) and up to one hundred percent (100%) of not more than one of the MBE participation subgoals, if any, established for the contract. Please see the attached MBE forms and instructions.
4.8 VSBE Goal
There is no VSBE participation goal for this procurement.

4.9 Living Wage Requirements
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, ef of this TORFP.

4.10 Federal Funding Acknowledgement
This Task Order does not contain federal funds.

4.11 Conflict of Interest Affidavit and Disclosure
4.11.1 Offerors shall complete and sign the Conflict of Interest Affidavit and Disclosure (Attachment H) and submit it with their Proposals. All Offerors are advised that if a TO Agreement is awarded as a result of this solicitation, the TO Contractor's Personnel who perform or control work under this TO Agreement and each of the participating subcontractor personnel who perform or control work under this TO Agreement shall be required to complete agreements substantially similar to Attachment H, conflict of interest Affidavit and Disclosure.

4.11.2 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.

4.11.3 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.

4.11.4 By submitting a Conflict of Interest Affidavit and Disclosure, the Offeror shall be construed as certifying all TO Contractor Personnel and Subcontractors are without a conflict of interest as defined in COMAR 21.05.08.08A.

4.12 Non-Disclosure Agreement
All Offerors are advised that this solicitation and any TO Agreement(s) be subject to the terms of the Non-Disclosure Agreement (NDA) contained in this solicitation as Attachment I. This Agreement must be provided within five (5) Business Days of notification of recommended award; however, to expedite processing, it is suggested that this document be completed and submitted with the TO Proposal.

4.13 HIPAA - Business Associate Agreement
A HIPAA Business Associate Agreement is not required for this procurement.

4.14 Mercury and Products That Contain Mercury
This solicitation does not include the procurement of products known to include mercury as a component.

4.15 Location of the Performance of Services Disclosure
Help Desk, Application and System Support
Solicitation #: E00B9400036

The Offeror is required to complete the Location of the Performance of Services Disclosure. A copy of this Disclosure is included as Attachment L. The Disclosure must be provided with the TO Proposal.

4.16 Department of Human Services (DHS) Hiring Agreement
This solicitation does not require a DHS Hiring Agreement.

4.17 Small Business Reserve (SBR) Set-Aside
This solicitation is not designated as a Small Business Reserve (SBR) set-aside solicitation.

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5 TO Proposal Format

5.1 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 (available online within the Master Contractor Admin System). 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.

5.2 Two Part Submission

Offerors shall submit TO Proposals in separate volumes:

- Volume I – TO TECHNICAL PROPOSAL
- Volume II – TO FINANCIAL PROPOSAL

5.3 TO Proposal Packaging and Delivery

5.3.1 TO Proposals emailed and/or delivered by facsimile shall not be considered.

5.3.2 Provide no pricing information in the TO Technical Proposal. Provide no pricing information on the media submitted in the TO Technical Proposal.

5.3.3 Offerors may submit TO Proposals by hand or by mail as described below to the address provided in the Key Information Summary Sheet.

   A. For U.S. Postal Service deliveries, any TO Proposal that has been received at the appropriate mailroom, or typical place of mail receipt, for the respective procuring unit by the time and date listed in the TORFP will be deemed timely. If an Offeror chooses to use the U.S. Postal Service for delivery, the ROW recommends that it use Express Mail, Priority Mail, or Certified Mail only as these are the only forms for which both the date and time of receipt can be verified by the ROW. An Offeror using first class mail will not be able to prove a timely delivery at the mailroom, and it could take several days for an item sent by first class mail to make its way by normal internal mail to the procuring unit.

   B. Hand-delivery includes delivery by commercial carrier acting as agent for the Offeror. For any type of direct (non-mail) delivery, Offerors are advised to secure a dated, signed, and time-stamped (or otherwise indicated) receipt of delivery.

5.3.4 The TO Procurement Officer must receive all Technical and TO Financial Proposal material by the TORFP due date and time specified in the Key Information Summary Sheet. Requests for extension of this date or time will not be granted. Except as provided in COMAR 21.05.03.02F, TO Proposals received by the TO Procurement Officer after the due date will not be considered.

5.3.5 Two Part Submission: Offerors shall provide their TO Proposals in two separately sealed and labeled packages as follows:

   A. TO Technical Proposal consisting of:
5.4.1 In addition to the instructions below, responses in the Offeror’s TO Technical Proposal shall reference the organization and numbering of Sections in the TORFP (e.g., “Section 2.2.1 Response . . .”; “Section 2.2.2 Response . . .”). All pages of both TO Proposal volumes shall be consecutively numbered from beginning (Page 1) to end (Page “x”).

5.4.2 The TO Technical Proposal shall include the following documents and information in the order specified as follows:

A. Proposed Services:
1) Executive Summary: A one-page summary describing the Offeror’s understanding of the TORFP scope of work (Sections 2-3) 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 match exactly the requirements outlined in Sections 2-3.

3) Assumptions: A description of any assumptions formed by the Offeror in developing the TO Technical Proposal.

4) Tools: The Master Contractor owns and proposes for use to meet any requirements in Sections 2-3.

5) The Offeror shall identify the location(s) from which it proposes to provide services, including, if applicable, any current facilities that it operates, and any required construction to satisfy the State’s requirements as outlined in this TORFP.

6) The Offeror shall include an SLA in its TO Proposal as identified in Section 2.6.

7) Non-Compete Clause Prohibition:

   The ROW seeks to maximize the retention of personnel working under this Task Order whenever there is a transition of the Task Order from one contractor to another to minimize disruption due to a change in contractor and maximize the maintenance of institutional knowledge accumulated by such personnel. To help achieve this objective of staff retention, each Offeror shall agree that if awarded the Task Order, the Offeror’s employees and agents filling the positions set forth in the staffing requirements working on the State contract shall be free to work for the contractor awarded the State contract notwithstanding any non-compete clauses to which the employee(s) may be subject. The Offeror agrees not to enforce any non-compete restrictions against the State with regard to these employees and agents if a different vendor succeeds it in the performance of the Task Order. To evidence compliance with this noncompete clause prohibition, each Offeror must include an affirmative statement in the TO Technical Proposal that the Offeror, if awarded a Task Order, agrees that its employees and agents shall not be restricted from working with or for any successor contractor that is awarded the State business.

B. Proposer Information Sheet and Transmittal Letter

The Offeror Information Sheet (see Appendix 2) and a Transmittal Letter shall accompany the TO Technical Proposal. The purpose of the Transmittal Letter is to transmit the TO Proposal and acknowledge the receipt of any addenda to this TORFP issued before the TO Proposal due date and time. Transmittal Letter should be brief, be signed by an individual who is authorized to commit the Offeror to its TO Proposal and the requirements as stated in this TORFP, and contain acknowledgement of all addenda to this TORFP issued before the TO Proposal due date.

C. Minimum Qualifications Documentation (If applicable)

The Offeror shall submit any Minimum Qualifications documentation that may be required, as set forth in TORFP Section 1.

D. Proposed Personnel and TORFP Staffing
Offeror shall propose exactly four (4) Key Personnel in response to this TORFP. Offeror shall:

1) Identify the qualifications and types of staff proposed under the Task Order. The Offeror shall describe in detail how the proposed staff’s experience and qualifications relate to their specific responsibilities, including any staff of proposed subcontractor(s), as detailed in the Work Plan.

2) Complete and provide for each proposed resource Appendix 4 Personnel Resume Form.

3) Provide three (3) references per proposed Key Personnel containing the information listed in Appendix 4.

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 the Task Order 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 the Task Order.

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.

E. Subcontractors
Identify all proposed Subcontractors, including MBEs, and their roles in the performance of the scope of work hereunder.

F. 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 the requested 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 the 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 A 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 G.1 above as engagement or contract experience. State of Maryland experience is neither required nor given more weight in proposal evaluations.

G. State Assistance

Provide an estimate of expectation concerning participation by State personnel.

H. 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.

I. Additional Submissions:

1) Attachments and Exhibits;
   a) All forms required for the TO Technical Proposal are identified in Table 1 of Section 7 – Exhibits and Attachments. Unless directed otherwise by instructions within an individual form, complete, sign, and include all required forms in the TO Technical Proposal.
   b) No attachment forms shall be altered. Signatures shall be clearly visible.
2) Offerors shall furnish with their Technical TO Proposal any and all agreements the Offeror expects the State to sign or to be subject to in connection with or in order to use the Offeror’s services under this Task Order Agreement, including but not limited to software license agreement(s), end user license agreement(s), AUP. This includes the complete text of all agreements referenced or incorporated in primary documents (i.e., links to the relevant agreements are not allowed).

3) Any services furnished from third party entities, e.g., resold services, shall include current Letters of Authorization or such other documentation demonstrating the authorization for such services.

5.5 Volume II – TO Financial Proposal

5.5.1 The TO Financial Proposal shall contain all price information in the format specified in Attachment B - Financial Proposal Form. The Offeror shall complete the Financial Proposal Form only as provided in the Financial Proposal Form Instructions and the Financial Proposal Form itself.

5.5.2 The TO Financial Proposal shall contain 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 Financial Proposal Form);

5.5.3 Attachment B – Financial Proposal Form with all proposed labor categories including all rates fully loaded. Master Contractors shall list all key resources by approved CATS+ labor categories in the TO Financial Proposal.

5.5.4 To be responsive to this TORFP, the Financial Proposal Form shall provide labor rates for all labor categories anticipated for this TORFP. Proposed rates shall not exceed the rates defined in the Master Contract for the Master Contract year(s) in effect at the time of the TO Proposal due date.

5.5.5 Prices shall be valid for 120 days.

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6 Evaluation and Selection Process

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 ROW will consider all information submitted in accordance with Section 5.

6.1 Evaluation Committee

Evaluation of TO Proposals will be performed in accordance with COMAR 21.05.03 by a committee established for that purpose and based on the evaluation criteria set forth below. The Evaluation Committee will review TO Proposals, participate in Offeror oral presentations and discussions, and provide input to the TO Procurement Officer. The ROW reserves the right to utilize the services of individuals outside of the established Evaluation Committee for advice and assistance, as deemed appropriate.

During the evaluation process, the TO Procurement Officer may determine at any time that a particular Offeror is not susceptible for award.

6.2 TO Technical Proposal Evaluation Criteria

The criteria to be used to evaluate each TO Technical Proposal are listed below in descending order of importance. Unless stated otherwise, any sub-criteria within each criterion have equal weight.

6.2.1 Offeror’s Technical Response to TORFP Requirements (See TORFP § 5.4.2)

The State prefers an Offeror’s response to work requirements in the TORFP that illustrates a comprehensive understanding of work requirements and mastery of the subject matter, including an explanation of how the work will be performed. TO Proposals, which include limited responses to work requirements such as “concur or will comply”, will receive a lower ranking than those TO proposals that demonstrate an understanding of the work requirements and include plans to meet or exceed them.

6.2.2 Experience and Qualifications of Proposed Staff (See TORFP § 5.4.2.D)

The capability of the proposed resources to perform the required tasks and produce the required deliverables in the TORFP Sections 2-3. Capability will be determined from each proposed individual’s resume, reference checks, and oral presentation (See Section 4.5 Oral Presentation).

6.2.3 Offeror Qualifications and Capabilities, including proposed subcontractors (See TORFP § 5.4.2.G)

Past performance will be evaluated for relevancy (similar size and scope), recency (within the past ten (10) years), and performance feedback (reference checks).

6.2.4 Demonstration of how the Master Contractor plans to staff the task order at the levels set forth in the TORFP and for potential future resource requests.

6.3 TO Financial Proposal Evaluation Criteria

All Qualified Offerors (see Section 6.4) will be ranked from the lowest (most advantageous) to the highest (least advantageous) price based on the Total Proposal Price within the stated guidelines set forth in this TORFP and as submitted on Attachment B - TO Financial Proposal Form.

6.4 Selection Procedures

TO Technical Proposals shall be evaluated based on the criteria set forth above in Section 6.2. TO Technical Proposals and TO Financial Proposals will be evaluated independently of each other.
A. TO Proposals will be assessed throughout the evaluation process for compliance with the minimum qualifications listed in Section 1 of this TORFP, and quality of responses to Section 5.3 TO Technical Proposal. Failure to meet the minimum qualifications shall render a TO Proposal not reasonably susceptible for award. The TO Procurement Officer will notify those Offerors who have not been selected to perform the work.

B. TO Technical Proposals will be evaluated for technical merit and ranked. Oral presentations and discussions may be held to assure full understanding of the State’s requirements and of the qualified Offeror’s proposals and abilities to perform, and to facilitate arrival at a TO Agreement that is most advantageous to the State.

C. The Procurement Officer will only open the TO Financial Proposals where the associated TO Technical Proposals have been classified as reasonably susceptible for award.

D. After review of TO Financial Proposals, TO Financial Proposals for qualified Offerors will be reviewed and ranked from lowest to highest price proposed.

E. When in the best interest of the State, the TO Procurement Officer may permit Qualified Offerors to revise their initial Proposals and submit, in writing, Best and Final Offers (BAFOs). The State may make an award without issuing a request for a BAFO.

F. The Procurement Officer shall make a determination recommending award of the TO to the responsible Offeror who has the TO Proposal determined to be the most advantageous to the State, considering price and the evaluation criteria set forth above. In making this selection, the TO Technical Proposal will have greater weight than TO Financial Proposal.

All Master Contractors submitting a TO Proposal shall receive written notice from the TO Procurement Officer identifying the awardee.

6.5 Documents Required upon Notice of Recommendation for Task Order Award

Upon receipt of a Notification of Recommendation for Task Order award, the apparent awardee shall complete and furnish the documents and attestations as directed in Table 1 of Section 7 – TORFP Attachments and Appendices.

Commencement of work in response to a TO Agreement shall be initiated only upon the completed documents and attestations, plus:

A. Issuance of a fully executed TO Agreement,

B. Purchase Order, and

C. by a Notice to Proceed authorized by the TO Procurement Officer. See (see online example at


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7 TORFP ATTACHMENTS AND APPENDICES

Instructions Page

A TO Proposal submitted by an Offeror must be accompanied by the completed forms and/or affidavits identified as “With proposal” in the “When to Submit” column in Table 1 below. All forms and affidavits applicable to this TORFP, including any applicable instructions and/or terms, are identified in Table 1. Forms that are greyed out are not applicable to this TORFP.

For paper submissions, submit two (2) copies of each with original signatures. All signatures must be clearly visible.

All Offerors are advised that if a Task Order is awarded as a result of this solicitation, the successful Offeror will be required to complete certain forms and affidavits after notification of recommended award. The list of forms and affidavits that must be provided is described in Table 1 below in the “When to Submit” column.

For documents required after award, submit three (3) copies of each document within the appropriate number of days after notification of recommended award, as listed in Table 1 below in the “When to Submit” column.

Table 1: TORFP ATTACHMENTS AND APPENDICES

<table>
<thead>
<tr>
<th>When to Submit</th>
<th>Label</th>
<th>Attachment Name</th>
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<tbody>
<tr>
<td>Before TO Proposal</td>
<td>A</td>
<td>Pre-Proposal Conference Response Form</td>
</tr>
<tr>
<td>With TO Proposal</td>
<td>B</td>
<td>TO Financial Proposal Instructions and Form</td>
</tr>
<tr>
<td>With TO Proposal</td>
<td>C</td>
<td>Bid/Proposal Affidavit</td>
</tr>
<tr>
<td>With TO Proposal</td>
<td>D</td>
<td>MBE Forms D-1A (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf</a>)</td>
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<td><strong>IMPORTANT:</strong> If this RFP contains different Functional Areas or Service Categories. A separate Attachment D-1A is to be submitted for each Functional Area or Service Category where there is a MBE goal.</td>
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<td><strong>Important:</strong> Attachment D-1C, if a waiver has been requested, is also required within 10 days of recommended award.</td>
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<tr>
<td>With TO Proposal</td>
<td>E</td>
<td>Veteran-Owned Small Business Enterprise (VSBE) Form E-1</td>
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<tr>
<td>5 Business Days after</td>
<td>E</td>
<td>VSBE Forms E-2, E-3</td>
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<td>When to Submit</td>
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<td>With TO Proposal</td>
<td>F</td>
<td>Maryland Living Wage Requirements for Service Task Orders and Affidavit of Agreement</td>
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<tr>
<td>With TO Proposal</td>
<td>G</td>
<td>Federal Funds Attachments</td>
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<td>With TO Proposal</td>
<td>H</td>
<td>Conflict of Interest Affidavit and Disclosure</td>
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<td>5 Business Days after</td>
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<td>Non-Disclosure Agreement (TO Contractor)</td>
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<td>J</td>
<td>HIPAA Business Associate Agreement</td>
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<td>With TO Proposal</td>
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<td>Mercury Affidavit</td>
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<td>Location of the Performance of Services Disclosure</td>
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<td>5 Business Days after</td>
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<td>Task Order Agreement</td>
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<td>Appendix 1</td>
<td>Abbreviations and Definitions</td>
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<td>Appendix 2</td>
<td>Offeror Information Sheet</td>
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<td>Prior to commencement of work</td>
<td>Appendix 3</td>
<td>Criminal Background Check Affidavit</td>
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<td>With TO Proposal</td>
<td>Appendix 4</td>
<td>Labor Classification Personnel Resume Summary</td>
</tr>
<tr>
<td>5 Business Days after</td>
<td>--</td>
<td>Evidence of meeting insurance requirements (see Section 3.6); 1 copy</td>
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<tr>
<td>recommended award</td>
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</table>
Attachment A.  TO Pre-Proposal Conference Response Form

Solicitation Number E00B9400036
Help Desk, Application and System Support

A TO Pre-proposal conference will be held on March 19, 2019, 9:00 AM - 10:00AM, at Louis L. Goldstein, Treasury Building, Assembly Room, Annapolis, MD 21401

Please return this form by March 18, 2019, advising whether or not you plan to attend. The completed form should be returned via e-mail or fax to the TO Procurement Officer at the contact information below:

Bernice Jeffries
COM
ITProcurement@comp.state.md.us

Please indicate:

_______ Yes, the following representatives will attend.

   Attendees (Check the TORFP for limits to the number of attendees allowed):
   1.
   2.
   3.

_______ No, we will not attend.

Please specify whether any reasonable accommodations are requested (see TORFP § 4.1 “TO Pre-proposal conference”):

Offeror:

   Offeror Name (please print or type)

By:

   Signature/Seal

Printed Name:

   Printed Name

Title:

   Title

Date:

   Date

Directions to the TO Pre-Proposal Conference

https://www.google.com/maps/dir/38.9811091,-76.4939313/80+Calvert+St,+Annapolis,+MD+21401/@38.9801804,-76.5292946,13z/data=!4m9!4m8!1m0!1m5!1s0x89b7f65103e808e3:0x8650407f065ecaad!2m2!3e0
Attachment B. TO Financial Proposal Instructions & Form

See separate Excel TO Financial Proposal Form labeled xxxx.xls.
Attachment C. Bid/Proposal Affidavit

A. AUTHORITY

I hereby affirm that I, ______________________ (name of affiant) am the ______________ (title) and duly authorized representative of ___________________ (name of business entity) and that I possess the legal authority to make this affidavit on behalf of the business for which I am acting.

B. CERTIFICATION REGARDING COMMERCIAL NONDISCRIMINATION

The undersigned Bidder/Offeror hereby certifies and agrees that the following information is correct: In preparing its Bid/proposal on this project, the Bidder/Offeror has considered all Bid/proposals submitted from qualified, potential subcontractors and suppliers, and has not engaged in “discrimination” as defined in § 19-103 of the State Finance and Procurement Article of the Annotated Code of Maryland. “Discrimination” means any disadvantage, difference, distinction, or preference in the solicitation, selection, hiring, or commercial treatment of a vendor, subcontractor, or commercial customer on the basis of race, color, religion, ancestry, or national origin, sex, age, marital status, sexual orientation, sexual identity, genetic information or an individual’s refusal to submit to a genetic test or make available the results of a genetic test, disability, or any otherwise unlawful use of characteristics regarding the vendor’s, supplier’s, or commercial customer’s employees or owners. “Discrimination” also includes retaliating against any person or other entity for reporting any incident of “discrimination”. Without limiting any other provision of the solicitation on this project, it is understood that, if the certification is false, such false certification constitutes grounds for the State to reject the Bid/proposal submitted by the Bidder/Offeror on this project, and terminate any contract awarded based on the Bid/proposal. As part of its Bid/proposal, the Bidder/Offeror herewith submits a list of all instances within the past four (4) years where there has been a final adjudicated determination in a legal or administrative proceeding in the State of Maryland that the Bidder/Offeror discriminated against subcontractors, vendors, suppliers, or commercial customers, and a description of the status or resolution of that determination, including any remedial action taken. Bidder/Offeror agrees to comply in all respects with the State’s Commercial Nondiscrimination Policy as described under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland.

B-1. CERTIFICATION REGARDING MINORITY BUSINESS ENTERPRISES.

The undersigned Bidder/Offeror hereby certifies and agrees that it has fully complied with the State Minority Business Enterprise Law, State Finance and Procurement Article, § 14-308(a)(2), Annotated Code of Maryland, which provides that, except as otherwise provided by law, a contractor may not identify a certified minority business enterprise in a Bid/proposal and:

1. Fail to request, receive, or otherwise obtain authorization from the certified minority business enterprise to identify the certified minority bid/proposal;
2. Fail to notify the certified minority business enterprise before execution of the contract of its inclusion in the Bid/proposal;
3. Fail to use the certified minority business enterprise in the performance of the contract; or
4. Pay the certified minority business enterprise solely for the use of its name in the Bid/proposal.

Without limiting any other provision of the solicitation on this project, it is understood that if the certification is false, such false certification constitutes grounds for the State to reject the Bid/proposal submitted by the Bidder/Offeror on this project, and terminate any contract awarded based on the Bid/proposal.
B-2. CERTIFICATION REGARDING VETERAN-OWNED SMALL BUSINESS ENTERPRISES.

The undersigned Bidder/Offeror hereby certifies and agrees that it has fully complied with the State veteran-owned small business enterprise law, State Finance and Procurement Article, § 14-605, Annotated Code of Maryland, which provides that a person may not:

(1) Knowingly and with intent to defraud, fraudulently obtain, attempt to obtain, or aid another person in fraudulently obtaining or attempting to obtain public money, procurement contracts, or funds expended under a procurement contract to which the person is not entitled under this title;

(2) Knowingly and with intent to defraud, fraudulently represent participation of a veteran-owned small business enterprise in order to obtain or retain a Bid/proposal preference or a procurement contract;

(3) Willfully and knowingly make or subscribe to any statement, declaration, or other document that is fraudulent or false as to any material matter, whether or not that falsity or fraud is committed with the knowledge or consent of the person authorized or required to present the declaration, statement, or document;

(4) Willfully and knowingly aid, assist in, procure, counsel, or advise the preparation or presentation of a declaration, statement, or other document that is fraudulent or false as to any material matter, regardless of whether that falsity or fraud is committed with the knowledge or consent of the person authorized or required to present the declaration, statement, or document;

(5) Willfully and knowingly fail to file any declaration or notice with the unit that is required by COMAR 21.11.13; or

(6) Establish, knowingly aid in the establishment of, or exercise control over a business found to have violated a provision of § B-2(1) - (5) of this regulation.

C. AFFIRMATION REGARDING BRIBERY CONVICTIONS

I FURTHER AFFIRM THAT:

Neither I, nor to the best of my knowledge, information, and belief, the above business (as is defined in Section 16-101(b) of the State Finance and Procurement Article of the Annotated Code of Maryland), or any of its officers, directors, partners, controlling stockholders, or any of its employees directly involved in the business’s contracting activities including obtaining or performing contracts with public bodies has been convicted of, or has had probation before judgment imposed pursuant to Criminal Procedure Article, § 6-220, Annotated Code of Maryland, or has pleaded nolo contendere to a charge of, bribery, attempted bribery, or conspiracy to bribe in violation of Maryland law, or of the law of any other state or federal law, except as follows (indicate the reasons why the affirmation cannot be given and list any conviction, plea, or imposition of probation before judgment with the date, court, official or administrative body, the sentence or disposition, the name(s) of person(s) involved, and their current positions and responsibilities with the business):

________________________________________________________________________

________________________________________________________________________

D. AFFIRMATION REGARDING OTHER CONVICTIONS

I FURTHER AFFIRM THAT:

Neither I, nor to the best of my knowledge, information, and belief, the above business, or any of its officers, directors, partners, controlling stockholders, or any of its employees directly involved in the business’s contracting activities including obtaining or performing contracts with public bodies, has:
(1) Been convicted under state or federal statute of:
   (a) A criminal offense incident to obtaining, attempting to obtain, or performing a public or private contract; or
   (b) Fraud, embezzlement, theft, forgery, falsification or destruction of records or receiving stolen property;
(2) Been convicted of any criminal violation of a state or federal antitrust statute;
(3) Been convicted under the provisions of Title 18 of the United States Code for violation of the Racketeer Influenced and Corrupt Organization Act, 18 U.S.C. § 1961 et seq., or the Mail Fraud Act, 18 U.S.C. § 1341 et seq., for acts in connection with the submission of Bids/Proposals for a public or private contract;
(4) Been convicted of a violation of the State Minority Business Enterprise Law, § 14-308 of the State Finance and Procurement Article of the Annotated Code of Maryland;
(5) Been convicted of a violation of § 11-205.1 of the State Finance and Procurement Article of the Annotated Code of Maryland;
(6) Been convicted of conspiracy to commit any act or omission that would constitute grounds for conviction or liability under any law or statute described in subsections (1)—(5) above;
(7) Been found civilly liable under a state or federal antitrust statute for acts or omissions in connection with the submission of Bids/Proposals for a public or private contract;
(8) Been found in a final adjudicated decision to have violated the Commercial Nondiscrimination Policy under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland with regard to a public or private contract;
(9) Been convicted of a violation of one or more of the following provisions of the Internal Revenue Code:
   (a) §7201, Attempt to Evade or Defeat Tax;
   (b) §7203, Willful Failure to File Return, Supply Information, or Pay Tax,
   (c) §7205, Fraudulent Withholding Exemption Certificate or Failure to Supply Information;
   (d) §7206, Fraud and False Statements, or
   (e) §7207 Fraudulent Returns, Statements, or Other Documents;
(11) Been convicted of a violation of the Tax-General Article, Title 13, Subtitle 7 or Subtitle 10, Annotated Code of Maryland;
(12) Been found to have willfully or knowingly violated State Prevailing Wage Laws as provided in the State Finance and Procurement Article, Title 17, Subtitle 2, Annotated Code of Maryland, if:
   (a) A court:
      (i) Made the finding; and
      (ii) Decision became final; or
   (b) The finding was:
      (i) Made in a contested case under the Maryland Administrative Procedure act; and
(ii) Not overturned on judicial review;

(13) Been found to have willfully or knowingly violated State Living Wage Laws as provided in the State Finance and Procurement Article, Title 18, Annotated Code of Maryland, if:
   (a) A court:
      (i) Made the finding; and
      (ii) Decision became final; or
   (b) The finding was:
      (i) Made in a contested case under the Maryland Administrative Procedure act; and
      (ii) Not overturned on judicial review;

(14) Been found to have willfully or knowingly violated the Labor and Employment Article, Title 3, Subtitles 3, 4, or 5, or Title 5, Annotated Code of Maryland, if:
   (a) A court:
      (i) Made the finding; and
      (ii) Decision became final; or
   (b) The finding was:
      (i) Made in a contested case under the Maryland Administrative Procedure act; and
      (ii) Not overturned on judicial review; or

(15) Admitted in writing or under oath, during the course of an official investigation or other proceedings, acts or omissions that would constitute grounds for conviction or liability under any law or statute described in §§ B and C and subsections D(1)—(14) above, except as follows (indicate reasons why the affirmations cannot be given, and list any conviction, plea, or imposition of probation before judgment with the date, court, official or administrative body, the sentence or disposition, the name(s) of the person(s) involved and their current positions and responsibilities with the business, and the status of any debarment):

E. AFFIRMATION REGARDING DEBARMENT

I FURTHER AFFIRM THAT:

Neither I, nor to the best of my knowledge, information, and belief, the above business, or any of its officers, directors, partners, controlling stockholders, or any of its employees directly involved in the business’s contracting activities, including obtaining or performing contracts with public bodies, has ever been suspended or debarred (including being issued a limited denial of participation) by any public entity, except as follows (list each debarment or suspension providing the dates of the suspension or debarment, the name of the public entity and the status of the proceedings, the name(s) of the person(s) involved and their current positions and responsibilities with the business, the grounds of the debarment or suspension, and the details of each person’s involvement in any activity that formed the grounds of the debarment or suspension).

F. AFFIRMATION REGARDING DEBARMENT OF RELATED ENTITIES
I FURTHER AFFIRM THAT:

(1) The business was not established and does not operate in a manner designed to evade the application of or defeat the purpose of debarment pursuant to Sections 16-101, et seq., of the State Finance and Procurement Article of the Annotated Code of Maryland; and

(2) The business is not a successor, assignee, subsidiary, or affiliate of a suspended or debarred business, except as follows (you must indicate the reasons why the affirmations cannot be given without qualification):

G. SUBCONTRACT AFFIRMATION

I FURTHER AFFIRM THAT:

Neither I, nor to the best of my knowledge, information, and belief, the above business, has knowingly entered into a contract with a public body under which a person debarred or suspended under Title 16 of the State Finance and Procurement Article of the Annotated Code of Maryland will provide, directly or indirectly, supplies, services, architectural services, construction related services, leases of real property, or construction.

H. AFFIRMATION REGARDING COLLUSION

I FURTHER AFFIRM THAT:

Neither I, nor to the best of my knowledge, information, and belief, the above business has:

(1) Agreed, conspired, connived, or colluded to produce a deceptive show of competition in the compilation of the accompanying Bid/proposal that is being submitted; or

(2) In any manner, directly or indirectly, entered into any agreement of any kind to fix the Bid/proposal price of the Bidder/Offeror or of any competitor, or otherwise taken any action in restraint of free competitive bidding in connection with the contract for which the accompanying Bid/proposal is submitted.

I. CERTIFICATION OF TAX PAYMENT

I FURTHER AFFIRM THAT:

Except as validly contested, the business has paid, or has arranged for payment of, all taxes due the State of Maryland and has filed all required returns and reports with the Comptroller of the Treasury, State Department of Assessments and Taxation, and Department of Labor, Licensing, and Regulation, as applicable, and will have paid all withholding taxes due the State of Maryland prior to final settlement.

J. CONTINGENT FEES

I FURTHER AFFIRM THAT:

The business has not employed or retained any person, partnership, corporation, or other entity, other than a bona fide employee, bona fide agent, bona fide salesperson, or commercial selling agency working for the business, to solicit or secure the Contract, and that the business has not paid or agreed to pay any person, partnership, corporation, or other entity, other than a bona fide employee, bona fide agent, bona fide salesperson, or commercial selling agency, any fee or any other consideration contingent on the making of the Contract.

K. CERTIFICATION REGARDING INVESTMENTS IN IRAN
(1) The undersigned certifies that, in accordance with State Finance and Procurement Article, §17-705, Annotated Code of Maryland:

(a) 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 State Finance and Procurement Article, §17-702, Annotated Code of Maryland; and

(b) It is not engaging in investment activities in Iran as described in State Finance and Procurement Article, §17-702, Annotated Code of Maryland.

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

____________________________________________________________
_________________________________________________

L. CONFLICT MINERALS ORIGINATED IN THE DEMOCRATIC REPUBLIC OF CONGO (FOR SUPPLIES AND SERVICES CONTRACTS)

I FURTHER AFFIRM THAT:

The business has complied with the provisions of State Finance and Procurement Article, §14-413, Annotated Code of Maryland governing proper disclosure of certain information regarding conflict minerals originating in the Democratic Republic of Congo or its neighboring countries as required by federal law.

M. PROHIBITING DISCRIMINATORY BOYCOTTS OF ISRAEL

I FURTHER AFFIRM THAT:

In preparing its bid/proposal on this project, the Bidder/Offeror has considered all bid/proposals submitted from qualified, potential subcontractors and suppliers, and has not, in the solicitation, selection, or commercial treatment of any subcontractor, vendor, or supplier, refused to transact or terminated business activities, or taken other actions intended to limit commercial relations, with a person or entity on the basis of Israeli national origin, or residence or incorporation in Israel and its territories. The Bidder/Offeror also has not retaliated against any person or other entity for reporting such refusal, termination, or commercially limiting actions. Without limiting any other provision of the solicitation for bid/proposals for this project, it is understood and agreed that, if this certification is false, such false certification will constitute grounds for the State to reject the bid/proposal submitted by the Bidder/Offeror on this project, and terminate any contract awarded based on the bid/proposal.

N. I FURTHER AFFIRM THAT:

Any claims of environmental attributes made relating to a product or service included in the bid or bid/proposal are consistent with the Federal Trade Commission’s Guides for the Use of Environmental Marketing Claims as provided in 16 C.F.R. §260, that apply to claims about the environmental attributes of a product, package or service in connection with the marketing, offering for sale, or sale of such item or service.

O. ACKNOWLEDGEMENT

I ACKNOWLEDGE THAT this Affidavit is to be furnished to the Procurement Officer and may be distributed to units of: (1) the State of Maryland; (2) counties or other subdivisions of the State of Maryland; (3) other states; and (4) the federal government. I further acknowledge that this Affidavit is subject to applicable laws of the United States and the State of Maryland, both criminal and civil, and that nothing in this Affidavit or any contract resulting from the submission of this Bid/proposal shall be construed to supersede, amend, modify or waive, on behalf of the State of Maryland, or any
unit of the State of Maryland having jurisdiction, the exercise of any statutory right or remedy
conferred by the Constitution and the laws of Maryland with respect to any misrepresentation made
or any violation of the obligations, terms and covenants undertaken by the above business with
respect to (1) this Affidavit, (2) the contract, and (3) other Affidavits comprising part of the contract.

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.

By:
Signature of Authorized Representative and Affiant

Printed Name:
Printed Name of Authorized Representative and Affiant

Title:
Title

Date:
Date
Attachment D. Minority Business Enterprise (MBE) Forms

TO CONTRACTOR MINORITY BUSINESS ENTERPRISE REPORTING REQUIREMENTS

CATS+ TORFP # E00B9400036

If after reading these instructions you have additional questions or need further clarification, please contact the TO Manager immediately.

1) As the TO Contractor, you have entered into a TO Agreement with the State of Maryland. As such, your company/firm is responsible for successful completion of all deliverables under the contract, including your commitment to making a good faith effort to meet the MBE participation goal(s) established for TORFP. Part of that effort, as outlined in the TORFP, includes submission of monthly reports to the State regarding the previous month’s MBE payment activity. Reporting forms D-4A (MBE Prime Contractor Paid/Unpaid Invoice Report), D-4B (MBE Prime Contractor Report) and D-5 (MBE Subcontractor Paid/Unpaid Invoice Report) are attached for your use and convenience.

2) The TO Contractor must complete a separate Form D-4A for each MBE subcontractor for each month of the contract and submit one copy to each of the locations indicated at the bottom of the form. The report is due no later than the 15th of the month following the month that is being reported. For example, the report for January’s activity is due no later than the 15th of February. With the approval of the TO Manager, the report may be submitted electronically. Note: Reports are required to be submitted each month, regardless whether there was any MBE payment activity for the reporting month.

3) The TO Contractor is responsible for ensuring that each subcontractor receives a copy of Form 2-5 (e-copy of and/or hard copy). The TO Contractor should make sure that the subcontractor receives all the information necessary to complete the form properly, including all of the information located in the upper right corner of the form. It may be wise to customize Form 2-5 (upper right corner of the form) for the subcontractor. This will help to minimize any confusion for those who receive and review the reports.

4) It is the responsibility of the TO Contractor to make sure that all subcontractors submit reports no later than the 15th of each month, including reports showing zero MBE payment activity. Actual payment data is verified and entered into the State’s financial management tracking system from the Subcontractor’s D-5 report only. Therefore, if the subcontractor(s) do not submit D-5 payment reports, the TO Contractor cannot and will not be given credit for subcontractor payments, regardless of the TO Contractor’s proper submission of Form D-4A. The TO Manager will contact the TO Contractor if reports are not received each month from either the prime contractor or any of the identified subcontractors.

5) The TO Contractor must promptly notify the TO Manager if, during the course of the contract, a new MBE subcontractor is utilized. Failure to comply with the MBE contract provisions and reporting requirements may result in sanctions, as provided by COMAR 21.11.03.13.
D-1A
MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT
& MBE PARTICIPATION SCHEDULE

INSTRUCTIONS
PLEASE READ BEFORE COMPLETING THIS DOCUMENT

This form includes Instructions and the MBE Utilization and Fair Solicitation Affidavit & MBE Participation Schedule which must be submitted with the proposal. If the Offeror fails to accurately complete and submit this Affidavit and Schedule with the proposal as required, the Procurement Officer shall deem the proposal not reasonably susceptible of being selected for award.

1. Contractor shall structure its procedures for the performance of the work required in this Contract to attempt to achieve the minority business enterprise (MBE) subcontractor participation goal stated in the Request for Proposals. Contractor agrees to exercise good faith efforts to carry out the requirements set forth in these Instructions, as authorized by the Code of Maryland Regulations (COMAR) 21.11.03.

2. MBE Goals and Subgoals: Please review the solicitation for information regarding the Contract's MBE overall participation goals and subgoals. After satisfying the requirements for any established subgoals, the Contractor is encouraged to use a diverse group of subcontractors and suppliers from any/all of the various MBE classifications to meet the remainder of the overall MBE participation goal.

3. MBE means a minority business enterprise that is certified by the Maryland Department of Transportation (“MDOT”). Only MBEs certified by MDOT may be counted for purposes of achieving the MBE participation goals. In order to be counted for purposes of achieving the MBE participation goals, the MBE firm, including an MBE prime, must be MDOT-certified for the services, materials or supplies that it is committed to perform on the MBE Participation Schedule.

4. Please refer to the MDOT MBE Directory at www.mdot.state.md.us to determine if a firm is certified with the appropriate North American Industry Classification System (“NAICS”) Code and the product/services description (specific product that a firm is certified to provide or specific areas of work that a firm is certified to perform). For more general information about NAICS, please visit www.naics.com. Only those specific products and/or services for which a firm is certified in the MDOT Directory can be used for purposes of achieving the MBE participation goals.

   WARNING: If the firm's NAICS Code is in graduated status, such services/products may not be counted for purposes of achieving the MBE participation goals. A NAICS Code is in the graduated status if the term “Graduated” follows the Code in the MDOT MBE Directory.

5. Guidelines Regarding MBE Prime Self-Performance. Please note that when a certified MBE firm participates as a prime contractor on a contract, a procurement agency may count the distinct, clearly defined portion of the work of the contract that the certified MBE firm performs with its own workforce toward fulfilling up to, but no more than, fifty-percent (50%) of the MBE participation goal (overall), including up to one hundred percent (100%) of not more than one of the MBE participation subgoals, if any, established for the contract.

   ✓ In order to receive credit for self-performance, an MBE prime must list its firm in Section 4A of the MBE Participation Schedule, including the certification category under which the MBE prime is self-performing and include information regarding the work it will self-perform.

   ✓ For the remaining portion of the overall goal and the subgoals, the MBE prime must also identify other certified MBE subcontractors (see Section 4B of the MBE Participation Schedule) used to meet those goals or request a waiver.
These guidelines apply to the work performed by the MBE Prime that can be counted for purposes of meeting the MBE participation goals. These requirements do not affect the MBE Prime’s ability to self-perform a greater portion of the work in excess of what is counted for purposes of meeting the MBE participation goals.

Please note that the requirements to meet the MBE participation overall goal and subgoals are distinct and separate. If the Contract has subgoals, regardless of MBE Prime’s ability to self-perform up to 50% of the overall goal (including up to 100% of any subgoal), the MBE Prime must either commit to other MBEs for each of any remaining subgoals or request a waiver. As set forth in Attachment D1-B Waiver Guidance, the MBE Prime’s ability to self-perform certain portions of the work of the Contract will not be deemed a substitute for the good faith efforts to meet any remaining subgoal or the balance of the overall goal.

In certain instances, where the percentages allocated to MBE participation subgoals add up to more than 50% of the overall goal, the portion of self-performed work that an MBE Prime may count toward the overall goal may be limited to less than 50%. Please refer to GOSBA’s website (http://www.gomdsmallbiz.maryland.gov/Pages/default.aspx) for the MBE Prime Regulations Q&A for illustrative examples.

6. Subject to items 1 through 5 above, when a certified MBE performs as a participant in a joint venture, a procurement agency may count a portion of the total dollar value of the contract equal to the distinct, clearly-defined portion of the work of the contract that the certified MBE performs with its workforce towards fulfilling the contract goal, and not more than one of the contract subgoals, if any.

7. As set forth in COMAR 21.11.03.12-1, once the Contract work begins, the work performed by a certified MBE firm, including an MBE prime, can only be counted towards the MBE participation goal(s) if the MBE firm is performing a commercially useful function on the Contract. Please refer to COMAR 21.11.03.12-1 for more information regarding these requirements.

8. If you have any questions as to whether a firm is certified to perform the specific services or provide specific products, please contact MDOT's Office of Minority Business Enterprise at 1-800-544-6056 or via e-mail to mbe@mdot.state.md.us sufficiently prior to the submission due date.

9. Worksheet: The percentage of MBE participation, calculated using the percentage amounts for all of the MBE firms listed on the Participation Schedule MUST at least equal the MBE participation goal and subgoals (if applicable) set forth in the solicitation. If an Offeror is unable to achieve the MBE participation goal and/or any subgoals (if applicable), the Offeror must request a waiver in Item 1 of the MBE Utilization and Fair Solicitation Affidavit (Attachment D-1A) or the Proposal determined to be not susceptible of being selected for award. You may wish to use the Subgoal summary below to assist in calculating the percentages and confirm that you have met the applicable MBE participation goal and subgoals, if any.

**SUBGOALS (IF APPLICABLE)**

**TOTAL AFRICAN AMERICAN MBE PARTICIPATION:**

<<MBEAFRICANAMERICANOWNEDSUBGOAL>>%

**TOTAL ASIAN AMERICAN MBE PARTICIPATION:**

<<MBEASIANAMERICANSUBGOAL>>%

**TOTAL HISPANIC AMERICAN MBE PARTICIPATION:**

<<MBEHISPANICAMERICANOWNEDSUBGOAL>>%

**TOTAL WOMEN-OWNED MBE PARTICIPATION:**

<<MBEWOMENOWNEDSUBGOAL>>%

**OVERALL GOAL**
TOTAL MBE PARTICIPATION (INCLUDE ALL CATEGORIES):  <<21>>%

D-1A
MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT & MBE PARTICIPATION SCHEDULE

This MBE Utilization and Fair Solicitation Affidavit and MBE Participation Schedule must be completed in its entirety and included with the Proposal. If the Offeror fails to accurately complete and submit this Affidavit and Schedule with the Proposal as required, the Procurement Officer shall determine that the Proposal is not reasonably susceptible of being selected for award.

In connection with the Proposal submitted in response to Solicitation No. E00B9400036, I affirm the following:

1. MBE Participation (PLEASE CHECK ONLY ONE)

(PLEASE CHECK ONLY ONE)

☐ I acknowledge and intend to meet the overall certified Minority Business Enterprise (MBE) participation goal of 21 percent

Therefore, I am not seeking a waiver pursuant to COMAR 21.11.03.11. I acknowledge that by checking the above box and agreeing to meet the stated goal, if any, I must complete the MBE Participation Schedule (Item 4 below) in order to be considered for award.

OR

☐ I conclude that I am unable to achieve the MBE participation goal. I hereby request a waiver, in whole or in part, of the overall goal. I acknowledge that by checking this box and requesting a partial waiver of the stated goal, if any, I must complete the MBE Participation Schedule (Item 4 below) for the portion of the goal if any, for which I am not seeking a waiver, in order to be considered for award.

2. Additional MBE Documentation

I understand that if I am notified that I am the apparent awardee or as requested by the Procurement Officer, I must submit the following documentation within 10 business days of receiving notice of the potential award or from the date of conditional award (per COMAR 21.11.03.10), whichever is earlier:

(a) Good Faith Efforts Documentation to Support Waiver Request (Attachment D-1C)
(b) Outreach Efforts Compliance Statement (Attachment D-2);
(c) MBE Subcontractor/MBE Prime Project Participation Statement (Attachments D-3A/B);
(d) Any other documentation, including additional waiver documentation if applicable, required by the Procurement Officer in connection with the certified MBE participation.

I understand that if I fail to return each completed document within the required time, the Procurement Officer may determine that my Proposal is not susceptible of being selected for contract award. If the contract has already been awarded, the award is voidable.

3. Information Provided to MBE firms

In the solicitation of subcontract quotations or offers, MBE firms were provided not less than the same information and amount of time to respond as were non-MBE firms.

4. MBE Participation Schedule
Set forth below are the (i) certified MBEs I intend to use, (ii) percentage of the total Contract amount allocated to each MBE for this project and (iii) items of work each MBE will provide under the Contract. I have confirmed with the MDOT database that the MBE firms identified below (including any self-performing prime firms) are performing work activities for which they are MDOT certified.

**Prime Contractor:**

<table>
<thead>
<tr>
<th>Offeror Company Name, Street Address, Phone</th>
<th>Project Description:</th>
<th>PROJECT/CONTRACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;&lt;projectDescription&gt;&gt;</td>
<td>&lt;&lt;Solicitation Number&gt;&gt;</td>
<td></td>
</tr>
</tbody>
</table>

**LIST INFORMATION FOR EACH CERTIFIED MBE FIRM YOU AGREE TO USE TO ACHIEVE THE MBE PARTICIPATION GOAL AND SUBGOALS. IF ANY. MBE PRIMES: PLEASE COMPLETE BOTH SECTIONS A AND B BELOW.**

**SECTION A:** For MBE Prime Contractors ONLY (including MBE Primes in a Joint Venture)

<table>
<thead>
<tr>
<th>MBE Prime Firm Name:</th>
<th>Percentage of total Contract Value to be performed with own forces and counted towards the MBE overall participation goal (up to 50% of the overall goal): _______%</th>
</tr>
</thead>
<tbody>
<tr>
<td>MBE Certification Number:</td>
<td>Percentage of total Contract Value to be performed with own forces and counted towards the subgoal, if any, for my MBE classification (up to 100% of not more than one subgoal): _______%</td>
</tr>
<tr>
<td>(If dually certified, check only one box.)</td>
<td>Description of the Work to be performed with MBE prime’s workforce:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>African American-Owned</th>
<th>Hispanic American-Owned</th>
<th>Asian American-Owned</th>
<th>Women-Owned</th>
<th>Other MBE Classification</th>
</tr>
</thead>
</table>

**SECTION B:** For all Contractors (including MBE Primes and MBE Primes in a Joint Venture)

<table>
<thead>
<tr>
<th>MBE Firm Name:</th>
<th>Percentage of Total Contract to be provided by this MBE: _______%</th>
</tr>
</thead>
<tbody>
<tr>
<td>MBE Certification Number:</td>
<td>Description of the Work to be Performed:</td>
</tr>
<tr>
<td>(If dually certified, check only one box.)</td>
<td></td>
</tr>
<tr>
<td>African American-Owned</td>
<td>Hispanic American-Owned</td>
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<td>Hispanic American-Owned</td>
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<tr>
<td>MBE Firm Name</td>
<td>Percentage of Total Contract to be provided by this MBE: ________%</td>
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</tr>
<tr>
<td>MBE Certification Number</td>
<td>Description of the Work to be Performed:</td>
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<td>(If dually certified, check only one box.)</td>
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<td>MBE Certification Number</td>
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<tr>
<td>☐ Other MBE Classification</td>
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(Continue on separate page if needed)
I solemnly affirm under the penalties of perjury that: (i) I have reviewed the instructions for the MBE Utilization & Fair Solicitation Affidavit and MBE Schedule, and (ii) the information contained in the MBE Utilization & Fair Solicitation Affidavit and MBE Schedule is true to the best of my knowledge, information and belief.

Offeror:

Offeror Name (please print or type)

By:

Signature of Authorized Representative

Printed Name:

Printed Name

Title:

Title

Date:

Date

Address:

Company Address

SUBMIT THIS AFFIDAVIT WITH PROPOSAL
D-1B WAIVER GUIDANCE

GUIDANCE FOR DOCUMENTING GOOD FAITH EFFORTS TO MEET MBE PARTICIPATION GOALS

In order to show that it has made good faith efforts to meet the Minority Business Enterprise (MBE) participation goal (including any MBE subgoals) on a contract, the Offeror must either (1) meet the MBE Goal(s) and document its commitments for participation of MBE Firms, or (2) when it does not meet the MBE Goal(s), document its Good Faith Efforts to meet the goal(s).

I. Definitions

**MBE Goal(s)** – “MBE Goal(s)” refers to the MBE participation goal and MBE participation subgoal(s).

**Good Faith Efforts** - The “Good Faith Efforts” requirement means that when requesting a waiver, the Offeror must demonstrate that it took all necessary and reasonable steps to achieve the MBE Goal(s), which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient MBE participation, even if those steps were not fully successful. Whether an Offeror that requests a waiver made adequate good faith efforts will be determined by considering the quality, quantity, and intensity of the different kinds of efforts that the Offeror has made. The efforts employed by the Offeror should be those that one could reasonably expect an Offeror to take if the Offeror were actively and aggressively trying to obtain MBE participation sufficient to meet the MBE contract goal and subgoals. Mere *pro forma* efforts are not good faith efforts to meet the MBE contract requirements. The determination concerning the sufficiency of the Offeror's good faith efforts is a judgment call; meeting quantitative formulas is not required.

**Identified Firms** – “Identified Firms” means a list of the MBEs identified by the procuring agency during the goal setting process and listed in the procurement as available to perform the Identified Items of Work. It also may include additional MBEs identified by the Offeror as available to perform the Identified Items of Work, such as MBEs certified or granted an expansion of services after the procurement was issued. If the procurement does not include a list of Identified Firms, this term refers to all of the MBE Firms (if State-funded) the Offeror identified as available to perform the Identified Items of Work and should include all appropriately certified firms that are reasonably identifiable.

**Identified Items of Work** – “Identified Items of Work” means the Proposal items identified by the procuring agency during the goal setting process and listed in the procurement as possible items of work for performance by MBE Firms. It also may include additional portions of items of work the Offeror identified for performance by MBE Firms to increase the likelihood that the MBE Goal(s) will be achieved. If the procurement does not include a list of Identified Items of Work, this term refers to all of the items of work the Offeror identified as possible items of work for performance by MBE Firms and should include all reasonably identifiable work opportunities.

**MBE Firms** – “MBE Firms” refers to firms certified by the Maryland Department of Transportation (“MDOT”) under COMAR 21.11.03. Only MDOT-certified MBE Firms can participate in the State's MBE Program.

II. Types of Actions Agency will Consider

The Offeror is responsible for making relevant portions of the work available to MBE subcontractors and suppliers and select those portions of the work or material needs consistent with the available MBE subcontractors and suppliers, so as to facilitate MBE participation. The following is a list of types of actions the procuring agency will consider as part of the Offeror's Good Faith Efforts when the Offeror fails to meet the MBE Goal(s). This list is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

A. Identify Proposal Items as Work for MBE Firms
1. Identified Items of Work in Procurements
   (a) Certain procurements will include a list of Proposal items identified during the goal setting process as possible work for performance by MBE Firms. If the procurement provides a list of Identified Items of Work, the Offeror shall make all reasonable efforts to solicit quotes from MBE Firms to perform that work.
   (b) Offerors may, and are encouraged to, select additional items of work to be performed by MBE Firms to increase the likelihood that the MBE Goal(s) will be achieved.

2. Identified Items of Work by Offerors
   (a) When the procurement does not include a list of Identified Items of Work or for additional Identified Items of Work, Offerors should reasonably identify sufficient items of work to be performed by MBE Firms.
   (b) Where appropriate, Offerors should break out contract work items into economically feasible units to facilitate MBE participation, rather than perform these work items with their own forces. The ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the Offeror of the responsibility to make Good Faith Efforts.

B. Identify MBE Firms to Solicit

1. MBE Firms Identified in Procurements
   (a) Certain procurements will include a list of the MBE Firms identified during the goal setting process as available to perform the items of work. If the procurement provides a list of Identified MBE Firms, the Offeror shall make all reasonable efforts to solicit those MBE firms.
   (b) Offerors may, and are encouraged to, search the MBE Directory to identify additional MBEs who may be available to perform the items of work, such as MBEs certified or granted an expansion of services after the solicitation was issued.

2. MBE Firms Identified by Offerors
   (a) When the procurement does not include a list of Identified MBE Firms, Offerors should reasonably identify the MBE Firms that are available to perform the Identified Items of Work.
   (b) Any MBE Firms identified as available by the Offeror should be certified to perform the Identified Items of Work.

C. Solicit MBEs

1. Solicit all Identified Firms for all Identified Items of Work by providing written notice. The Offeror should:
   (a) provide the written solicitation at least 10 days prior to Proposal opening to allow sufficient time for the MBE Firms to respond;
   (b) send the written solicitation by first-class mail, facsimile, or e-mail using contact information in the MBE Directory, unless the Offeror has a valid basis for using different contact information; and
   (c) provide adequate information about the plans, specifications, anticipated time schedule for portions of the work to be performed by the MBE, and other requirements of the contract to assist MBE Firms in responding. (This information may be provided by including hard copies in the written solicitation or by electronic means as described in C.3 below.)
2. “All” Identified Firms includes the MBEs listed in the procurement and any MBE Firms you identify as potentially available to perform the Identified Items of Work, but it does not include MBE Firms who are no longer certified to perform the work as of the date the Offeror provides written solicitations.

3. “Electronic Means” includes, for example, information provided via a website or file transfer protocol (FTP) site containing the plans, specifications, and other requirements of the contract. If an interested MBE cannot access the information provided by electronic means, the Offeror must make the information available in a manner that is accessible to the interested MBE.

4. Follow up on initial written solicitations by contacting MBEs to determine if they are interested. The follow up contact may be made:
   (a) by telephone using the contact information in the MBE Directory, unless the Offeror has a valid basis for using different contact information; or
   (b) in writing via a method that differs from the method used for the initial written solicitation.

5. In addition to the written solicitation set forth in C.1 and the follow up required in C.4, use all other reasonable and available means to solicit the interest of MBE Firms certified to perform the work of the contract. Examples of other means include:
   (a) attending any pre-proposal meetings at which MBE Firms could be informed of contracting and subcontracting opportunities; and
   (b) if recommended by the procurement, advertising with or effectively using the services of at least two minority focused entities or media, including trade associations, minority/women community organizations, minority/women contractors’ groups, and local, state, and federal minority/women business assistance offices listed on the MDOT Office of Minority Business Enterprise website.

D. Negotiate with Interested MBE Firms

Offerors must negotiate in good faith with interested MBE Firms.

1. Evidence of negotiation includes, without limitation, the following:
   (a) the names, addresses, and telephone numbers of MBE Firms that were considered;
   (b) a description of the information provided regarding the plans and specifications for the work selected for subcontracting and the means used to provide that information; and
   (c) evidence as to why additional agreements could not be reached for MBE Firms to perform the work.

2. An Offeror using good business judgment would consider a number of factors in negotiating with subcontractors, including MBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration.

3. The fact that there may be some additional costs involved in finding and using MBE Firms is not in itself sufficient reason for an Offeror's failure to meet the contract MBE goal(s), as long as such costs are reasonable. Factors to take into consideration when determining whether an MBE Firm’s quote is excessive or unreasonable include, without limitation, the following:
   (a) dollar difference between the MBE subcontractor’s quote and the average of the other subcontractors' quotes received by the Offeror;
   (b) percentage difference between the MBE subcontractor’s quote and the average of the other subcontractors' quotes received by the Offeror;
(c) percentage that the MBE subcontractor’s quote represents of the overall contract amount;
(d) number of MBE firms that the Offeror solicited for that portion of the work;
(e) whether the work described in the MBE and Non-MBE subcontractor quotes (or portions thereof) submitted for review is the same or comparable; and
(f) number of quotes received by the Offeror for that portion of the work.

4. The above factors are not intended to be mandatory, exclusive, or exhaustive, and other evidence of an excessive or unreasonable price may be relevant.

5. The Offeror may not use its price for self-performing work as a basis for rejecting an MBE Firm’s quote as excessive or unreasonable.

6. The “average of the other subcontractors’ quotes received” by the Offeror refers to the average of the quotes received from all subcontractors. Offeror should attempt to receive quotes from at least three subcontractors, including one quote from an MBE and one quote from a Non-MBE.

7. An Offeror shall not reject an MBE Firm as unqualified without sound reasons based on a thorough investigation of the firm’s capabilities. For each certified MBE that is rejected as unqualified or that placed a subcontract quotation or offer that the Offeror concludes is not acceptable, the Offeror must provide a written detailed statement listing the reasons for this conclusion. The Offeror also must document the steps taken to verify the capabilities of the MBE and Non-MBE Firms quoting similar work.

(a) The factors to take into consideration when assessing the capabilities of an MBE Firm, include, but are not limited to the following: financial capability, physical capacity to perform, available personnel and equipment, existing workload, experience performing the type of work, conduct and performance in previous contracts, and ability to meet reasonable contract requirements.

(b) The MBE Firm’s standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of proposals in the efforts to meet the project goal.

E. Assisting Interested MBE Firms

When appropriate under the circumstances, the decision-maker will consider whether the Offeror made reasonable efforts to assist interested MBR Firms in obtaining:

1. The bonding, lines of credit, or insurance required by the procuring agency or the Offeror; and
2. Necessary equipment, supplies, materials, or related assistance or services.

III. Other Considerations

In making a determination of Good Faith Efforts the decision-maker may consider engineering estimates, catalogue prices, general market availability and availability of certified MBE Firms in the area in which the work is to be performed, other proposals or offers and subcontract proposals or offers substantiating significant variances between certified MBE and Non-MBE costs of participation, and their impact on the overall cost of the contract to the State and any other relevant factors.

The decision-maker may take into account whether an Offeror decided to self-perform subcontract work with its own forces, especially where the self-performed work is Identified Items of Work in the procurement. The decision-maker also may take into account the performance of other Offerors in meeting the contract. For example, when the apparent successful Offeror fails to meet the contract goal, but others meet it, this reasonably raises the question of whether, with additional reasonable efforts, the
apparent successful Offeror could have met the goal. If the apparent successful Offeror fails to meet the goal, but meets or exceeds the average MBE participation obtained by other Offerors, this, when viewed in conjunction with other factors, could be evidence of the apparent successful Offeror having made Good Faith Efforts.

IV. Documenting Good Faith Efforts

At a minimum, an Offeror seeking a waiver of the MBE Goal(s) or a portion thereof must provide written documentation of its Good Faith Efforts, in accordance with COMAR 21.11.03.11, within 10 business days after receiving notice that it is the apparent awardee. The written documentation shall include the following:

A. Items of Work (Complete Good Faith Efforts Documentation Attachment D-1C, Part 1)

A detailed statement of the efforts made to select portions of the work proposed to be performed by certified MBE Firms in order to increase the likelihood of achieving the stated MBE Goal(s).

B. Outreach/Solicitation/Negotiation

1. The record of the Offeror's compliance with the outreach efforts prescribed by COMAR 21.11.03.09C(2)(a). (Complete Outreach Efforts Compliance Statement - D-2).

2. A detailed statement of the efforts made to contact and negotiate with MBE Firms including:
   (a) the names, addresses, and telephone numbers of the MBE Firms who were contacted, with the dates and manner of contacts (letter, fax, e-mail, telephone, etc.) (Complete Good Faith Efforts Attachment D-1C- Part 2, and submit letters, fax cover sheets, e-mails, etc. documenting solicitations); and
   (b) a description of the information provided to MBE Firms regarding the plans, specifications, and anticipated time schedule for portions of the work to be performed and the means used to provide that information.

C. Rejected MBE Firms (Complete Good Faith Efforts Attachment D-1C, Part 3)

1. For each MBE Firm that the Offeror concludes is not acceptable or qualified, a detailed statement of the reasons for the Offeror’s conclusion, including the steps taken to verify the capabilities of the MBE and Non-MBE Firms quoting similar work.

2. For each certified MBE Firm that the Offeror concludes has provided an excessive or unreasonable price, a detailed statement of the reasons for the Offeror’s conclusion, including the quotes received from all MBE and Non-MBE firms proposing on the same or comparable work. (Include copies of all quotes received.)

3. A list of MBE Firms contacted but found to be unavailable. This list should be accompanied by an MBE Unavailability Certificate (see D-1B - Exhibit A to this Part 1) signed by the MBE contractor or a statement from the Offeror that the MBE contractor refused to sign the MBE Unavailability Certificate.

D. Other Documentation

1. Submit any other documentation requested by the Procurement Officer to ascertain the Offeror's Good Faith Efforts.

2. Submit any other documentation the Offeror believes will help the Procurement Officer ascertain its Good Faith Efforts.
D-1B - Exhibit A
MBE Subcontractor Unavailability Certificate

1. It is hereby certified that the firm of ________________________________
located at _______________________________________________________
   (Name of Minority firm)                                            (Number)
   (Street)                                                            (City)  (State)  (Zip)
   was offered an opportunity to bid on Solicitation No. E00B9400036
   in _____________ County by _______________________________________
   (Name of Prime Contractor’s Firm)

2. (Minority Firm), is either unavailable for the work/service or unable to prepare a proposal for this project for the following reason(s):

   __________________________________________________________________
   __________________________________________________________________
   __________________________________________________________________
   __________________________________________________________________

   (Signature of Minority Firm’s MBE Representative) (Title) (Date)

   (MDOT Certification #) (Telephone #)

3. To be completed by the prime contractor if Section 2 of this form is not completed by the minority firm.

   To the best of my knowledge and belief, said Certified Minority Business Enterprise is either unavailable for the work/service for this project, is unable to prepare a proposal, or did not respond to a request for a price proposal and has not completed the above portion of this submittal.

   ________________________________ ________________________________ ________________________________
   (Signature of Prime Contractor) (Title) (Date)
### D-1C
**GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST**

**PAGE __ OF ___**

<table>
<thead>
<tr>
<th><strong>Prime Contractor:</strong></th>
<th><strong>Project Description:</strong></th>
<th><strong>PROJECT/CONTRACT</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Offeror Company Name, Street Address, Phone</td>
<td>&lt;&lt;projectDescription&gt;&gt;</td>
<td>NUMBER: &lt;&lt;Solicitation Number&gt;&gt;</td>
</tr>
</tbody>
</table>

Parts 1, 2, and 3 must be included with this certificate along with all documents supporting your waiver request.

I affirm that I have reviewed Attachment D-1B, Waiver Guidance. I further affirm under penalties of perjury that the contents of Parts 1, 2, and 3 of this Attachment D-1C Good Faith Efforts Documentation Form are true to the best of my knowledge, information, and belief.

Company:

Company Name (please print or type)

By:

Signature of Authorized Representative

Printed Name:

Printed Name

Title:

Title

Date:

Date

Address:

Company Address

Company Name

Signature of Representative

Address

Printed Name and Title
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST
PART 1 – IDENTIFIED ITEMS OF WORK OFFEROR MADE AVAILABLE TO MBE FIRMS

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
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<td>&lt;&lt;projectDescription&gt;&gt;</td>
<td>&lt;&lt;Solicitation Number&gt;&gt;</td>
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Identify those items of work that the Offeror made available to MBE Firms. This includes, where appropriate, those items the Offeror identified and determined to subdivide into economically feasible units to facilitate the MBE participation. For each item listed, show the anticipated percentage of the total contract amount. It is the Offeror’s responsibility to demonstrate that sufficient work to meet the goal was made available to MBE Firms, and the total percentage of the items of work identified for MBE participation equals or exceeds the percentage MBE goal set for the procurement. Note: If the procurement includes a list of Proposal items identified during the goal setting process as possible items of work for performance by MBE Firms, the Offeror should make all of those items of work available to MBE Firms or explain why that item was not made available. If the Offeror selects additional items of work to make available to MBE Firms, those additional items should also be included below.

<table>
<thead>
<tr>
<th>Identified Items of Work</th>
<th>Was this work listed in the procurement?</th>
<th>Does Offeror normally self-perform this work?</th>
<th>Was this work made available to MBE Firms? If no, explain why?</th>
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<tr>
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☐ Please check if Additional Sheets are attached.
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST
PART 2 – IDENTIFIED MBE FIRMS AND RECORD OF SOLICITATIONS

Identify the MBE Firms solicited to provide quotes for the Identified Items of Work made available for MBE participation. Include the name of the MBE Firm solicited, items of work for which quotes were solicited, date and manner of initial and follow-up solicitations, whether the MBE provided a quote, and whether the MBE is being used to meet the MBE participation goal. MBE Firms used to meet the participation goal must be included on the MBE Participation Schedule. Note: If the procurement includes a list of the MBE Firms identified during the goal setting process as potentially available to perform the items of work, the Offeror should solicit all of those MBE Firms or explain why a specific MBE was not solicited. If the Offeror identifies additional MBE Firms who may be available to perform Identified Items of Work, those additional MBE Firms should also be included below. Copies of all written solicitations and documentation of follow-up calls to MBE Firms must be attached to this form. This list should be accompanied by a Minority Contractor Unavailability Certificate signed by the MBE contractor or a statement from the Offeror that the MBE contractor refused to sign the Minority Contractor Unavailability Certificate (Attachment D-1B - Exhibit A). If the Offeror used a Non-MBE or is self-performing the identified items of work, Part 4 must be completed.

<table>
<thead>
<tr>
<th>Name of Identified MBE Firm &amp; MBE Classification</th>
<th>Describe Item of Work Solicited</th>
<th>Initial Solicitation Date &amp; Method</th>
<th>Follow-up Solicitation Date &amp; Method</th>
<th>Details for Follow-up Calls</th>
<th>Quote Rec’d</th>
<th>Quote Used</th>
<th>Reason Quote Rejected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Firm Name: MBE Classification</td>
<td>Date:</td>
<td>Date:</td>
<td>Time of Call:</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Used Other MBE</td>
</tr>
<tr>
<td>(Check only if requesting waiver of MBE subgoal.)</td>
<td>□ Mail</td>
<td>□ Phone</td>
<td>Spoke with:</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Used Non-MBE</td>
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<td></td>
<td>□ Facsimile</td>
<td>□ Facsimile</td>
<td>Message</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Self-performing</td>
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<td>□ E-mail</td>
<td>□ E-mail</td>
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<tr>
<td>Firm Name:</td>
<td>Date:</td>
<td>Date:</td>
<td>Time of Call:</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Used Other MBE</td>
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<tr>
<td>(Check only if requesting waiver of MBE subgoal.)</td>
<td>□ Mail</td>
<td>□ Phone</td>
<td>Spoke with:</td>
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<td>No</td>
<td>No</td>
<td>Used Non-MBE</td>
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This form must be completed if Part 1 indicates that an MBE quote was rejected because the Offeror is using a Non-MBE or is self-performing the Identified Items of Work. Provide the Identified Items Work, indicate whether the work will be self-performed or performed by a Non-MBE, and if applicable, state the name of the Non-MBE. Also include the names of all MBE and Non-MBE Firms that provided a quote and the amount of each quote.

<table>
<thead>
<tr>
<th>Describe Identified Items of Work Not Being Performed by MBE (Include spec/ section number from Proposal)</th>
<th>Self-performing or Using Non-MBE (Provide name)</th>
<th>Amount of Non-MBE Quote</th>
<th>Name of Other Firms who Provided Quotes &amp; Whether MBE or Non-MBE</th>
<th>Amount Quoted</th>
<th>Indicate Reason Why MBE Quote Rejected &amp; Briefly Explain</th>
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<tr>
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<td>□ Price □ Capabilities □ Other</td>
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Please check if Additional Sheets are attached.
D- 2
OUTREACH EFFORTS COMPLIANCE STATEMENT

Complete and submit this form within 10 Business Days of notification of apparent award or actual award, whichever is earlier.

In conjunction with the Proposal submitted in response to Solicitation No. <<solicitationNumber>>, I state the following:

1. Offeror identified subcontracting opportunities in these specific work categories:

2. Attached to this form are copies of written solicitations (with proposal instructions) used to solicit certified MBE firms for these subcontract opportunities.

3. Offeror made the following attempts to personally contact the solicited MDOT-certified MBE firms:

4. Please Check One:
   □ This project does not involve bonding requirements.
   □ Offeror assisted MDOT-certified MBE firms to fulfill or seek waiver of bonding requirements. (DESCRIBE EFFORTS):

5. Please Check One:
   _______ Offeror did attend the pre-proposal conference.
   _______ No pre-proposal meeting/conference was held.
   _______ Offeror did not attend the pre-proposal conference.
PLEASE PRINT OR TYPE

Company:

__________________________
Company Name (please print or type)

By:

__________________________
Signature of Authorized Representative

Printed Name:

__________________________
Printed Name

Title:

__________________________
Title

Date:

__________________________
Date

Address:

__________________________
Company Address
Please complete and submit one form for each certified MBE firm listed on the MBE Participation schedule (Attachment D-1A) within 10 Business Days of notification of apparent award. If the Offeror fails to return this affidavit within the required time, the Procurement Officer may determine that Proposal is not susceptible of being selected for Contract award.

Provided that ______________________ (Prime Contractor’s Name) is awarded the State contract in conjunction with Solicitation No. E00B9400036, such Prime Contractor intends to enter into a subcontract with ______________________ (Subcontractor’s Name) committing to participation by the MBE firm ______________________ (MBE Name) with MDOT Certification Number _______________ which will receive at least $_____________ which equals to ___% of the Total Contract Amount for performing the following goods and services for the Contract:

<table>
<thead>
<tr>
<th>NAICS CODE</th>
<th>WORK ITEM, SPECIFICATION NUMBER, LINE ITEMS OR WORK CATEGORIES (IF APPLICABLE)</th>
<th>DESCRIPTION OF SPECIFIC PRODUCTS AND/OR SERVICES</th>
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</table>

Each of the Contractor and subcontractor acknowledges that, for purposes of determining the accuracy of the information provided herein, the Procurement Officer may request additional information, including, without limitation, copies of the subcontract agreements and quotes. Each of the Contractor and subcontractor solemnly affirms under the penalties of perjury that: (i) the information provided in this MBE Subcontractor Project Participation Affidavit is true to the best of its knowledge, information and belief, and (ii) has fully complied with the State Minority Business Enterprise law, State Finance and Procurement Article §14-308(a)(2), Annotated Code of Maryland which provides that, except as otherwise provided by law, a contractor may not identify a certified minority business enterprise in a Proposal and:

1. fail to request, receive, or otherwise obtain authorization from the certified minority business enterprise to identify the certified Minority Business Enterprise in its Proposal;
2. fail to notify the certified Minority Business Enterprise before execution of the Contract of its inclusion of the Proposal;
3. fail to use the certified Minority Business Enterprise in the performance of the Contract; or
4. pay the certified Minority Business Enterprise solely for the use of its name in the Proposal.
<table>
<thead>
<tr>
<th>Prime Contractor</th>
<th>Subcontractor</th>
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</thead>
<tbody>
<tr>
<td>Company:</td>
<td>Company:</td>
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<tr>
<td>Company Name (please print or type)</td>
<td>Company Name (please print or type)</td>
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<tr>
<td>FEIN:</td>
<td>FEIN:</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Federal Identification Number</td>
<td>Federal Identification Number</td>
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<tr>
<td>Phone Number:</td>
<td>Phone Number:</td>
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<td>Phone Number</td>
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<td>By:</td>
<td>By:</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Signature of Authorized Representative</td>
<td>Signature of Authorized Representative</td>
</tr>
<tr>
<td>Date:</td>
<td>Date:</td>
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<td></td>
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<td>Date</td>
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<td>Printed Name:</td>
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<td>Printed Name</td>
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<td>Title</td>
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<tr>
<td>Address</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>PRIME CONTRACTOR</th>
<th>SUBCONTRACTOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of Representative:</td>
<td>Signature of Representative:</td>
</tr>
<tr>
<td>Printed Name and Title:</td>
<td>Printed Name and Title:</td>
</tr>
<tr>
<td>Firm’s Name:</td>
<td>Firm’s Name:</td>
</tr>
<tr>
<td>Federal Identification Number:</td>
<td>Federal Identification Number:</td>
</tr>
<tr>
<td>Address:</td>
<td>Address:</td>
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<tr>
<td>Telephone:</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Date:</td>
<td>Date:</td>
</tr>
</tbody>
</table>
Please complete and submit this form to attest each specific item of work that your MBE firm has listed on the MBE Participation Schedule (Attachment D-1A) for purposes of meeting the MBE participation goals. This form must be submitted within 10 Business Days of notification of apparent award. If the Offeror fails to return this affidavit within the required time, the Procurement Officer may determine that Proposal is not susceptible of being selected for Contract award.

<table>
<thead>
<tr>
<th>NAICS CODE</th>
<th>WORK ITEM, SPECIFICATION NUMBER, LINE ITEMS OR WORK CATEGORIES (IF APPLICABLE)</th>
<th>DESCRIPTION OF SPECIFIC PRODUCTS AND/OR SERVICES</th>
<th>VALUE OF THE WORK</th>
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</tr>
</tbody>
</table>

**MBE Prime Contractor**

Company:  

Company Name (please print or type)  

FEIN:  

Federal Identification Number  

Address:  

Company Address  

Phone:  

Phone  

Printed Name:  

Printed Name
D-4A
Minority Business Enterprise Participation
MBE Prime Contractor Paid/Unpaid Invoice Report

<table>
<thead>
<tr>
<th>Report #:</th>
<th>Contract #: E00B9400036</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Period (Month/Year):</td>
<td>Contracting Unit: &lt;&lt;issuingAgencyName&gt;&gt;</td>
</tr>
<tr>
<td>Prime Contractor: Report is due to the MBE Liaison by the 15th of the month following the month the services were provided. Note: Please number reports in sequence</td>
<td>Contract Amount:</td>
</tr>
<tr>
<td></td>
<td>MBE Subcontract Amt:</td>
</tr>
<tr>
<td></td>
<td>Project Begin Date:</td>
</tr>
<tr>
<td></td>
<td>Project End Date:</td>
</tr>
<tr>
<td></td>
<td>Services Provided:</td>
</tr>
<tr>
<td>Prime Contractor:</td>
<td>Contact Person:</td>
</tr>
<tr>
<td>Address:</td>
<td></td>
</tr>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>Phone:</td>
<td>FAX:</td>
</tr>
<tr>
<td>MBE Subcontractor Name:</td>
<td>Contact Person:</td>
</tr>
<tr>
<td>Phone:</td>
<td>FAX:</td>
</tr>
<tr>
<td>Subcontractor Services Provided:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>List all payments made to MBE subcontractor named above during this reporting period:</th>
<th>List dates and amounts of any outstanding invoices:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invoice #</td>
<td>Amount</td>
</tr>
<tr>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td>2.</td>
<td>2.</td>
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<td>3.</td>
<td>3.</td>
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<tr>
<td>4.</td>
<td>4.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Dollars Paid: $</th>
<th>Total Dollars Unpaid: $</th>
</tr>
</thead>
</table>

- If more than one MBE subcontractor is used for this contract, you must use separate Attachment D-4A forms. Information regarding payments that the MBE prime will use for purposes of meeting the MBE participation goals must be reported separately in Attachment D-4B.

- Return one copy (hard or electronic) of this form to the following addresses (electronic copy with signature and date is preferred):

  <<contractManagerName>>
  TO Manager
  <<contactManagerAddress>>
  Address
  <<contractManageremail>>

  <<issuingAgencyName>>
  Contracting Unit

  <<contractManagerPhoneNumber>>
### D-4B

**Minority Business Enterprise Participation**  
**MBE Prime Contractor Report**

<table>
<thead>
<tr>
<th>MBE Prime Contractor:</th>
<th>Contract #:</th>
<th>Certification Number:</th>
<th>Contracting Unit: &lt;&lt;issuingAgencyName&gt;&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report #:</td>
<td>Contract Amount:</td>
<td>Reporting Period (Month/Year):</td>
<td>Report is due to the MBE Liaison by the 15th of the month following the month the services were provided.</td>
</tr>
<tr>
<td>MBE Prime Contractor: Report is due to the MBE Liaison by the 15th of the month following the month the services were provided. Note: Please number reports in sequence</td>
<td></td>
<td></td>
<td>Total Value of the Work to the Self-Performed for purposes of Meeting the MBE participation goal/subgoals:</td>
</tr>
</tbody>
</table>

**Contact Person:**

<table>
<thead>
<tr>
<th>Address:</th>
<th>State:</th>
<th>ZIP:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contact Person:</th>
<th>Address:</th>
<th>Phone:</th>
<th>FAX:</th>
<th>E-mail:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Invoice Number</th>
<th>Value of the Work</th>
<th>NAICS Code</th>
<th>Description of Specific Products and/or Services</th>
</tr>
</thead>
</table>

**Return one copy (hard or electronic) of this form to the following addresses (electronic copy with signature and date is preferred):**

```
<<contractManagerName>>
TO Manager
<<contractManagerAddress>>
Address
<<contractManageremail>>
Email

<<issuingAgencyName>>
Contracting Unit
City, State Zip
<<contractManagerPhoneNumber>>
Phone Number
```

Signature (Required)
Date
D-5
Minority Business Enterprise Participation
MBE Subcontractor Paid/Unpaid Invoice Report

<table>
<thead>
<tr>
<th>Report #:</th>
<th>Contract #: &lt;&lt;solicitationNumber&gt;&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Period (Month/Year):</td>
<td>Contracting Unit: &lt;&lt;issuingAgencyName&gt;&gt;</td>
</tr>
<tr>
<td>Report is due by the 15th of the month following the month the services were performed.</td>
<td>MBE Subcontract Amt:</td>
</tr>
<tr>
<td></td>
<td>Project Begin Date:</td>
</tr>
<tr>
<td></td>
<td>Project End Date:</td>
</tr>
<tr>
<td></td>
<td>Services Provided:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MBE Subcontractor Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>MDOT Certification #:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact Person:</th>
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<tbody>
<tr>
<td>Address:</td>
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<tr>
<td>City:</td>
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<tr>
<td>State:</td>
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<tr>
<td>ZIP:</td>
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<tr>
<td>Phone:</td>
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<tr>
<td>FAX:</td>
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<tr>
<td>E-mail:</td>
</tr>
</tbody>
</table>

Subcontractor Services Provided:
List all payments received from Prime Contractor during reporting period indicated above. List dates and amounts of any unpaid invoices over 30 days old.

<table>
<thead>
<tr>
<th>Invoice Amount</th>
<th>Date</th>
<th>Invoice Amount</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>4.</td>
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</tr>
</tbody>
</table>

Total Dollars Paid: $ Total Dollars Unpaid: $
Prime Contractor: Contract Person:

Return one copy of this form to the following addresses (electronic copy with signature and date is preferred):

<<contractManagerName>>
TO Manager
<<contractManagerAddress>>
Address
<<contractManageremail>>
Email

Signature (Required) Date
Attachment E.  Veteran-Owned Small Business Enterprise (VSBE) Forms

This solicitation does not include a Veteran-Owned Small Business Enterprise goal.
Attachment F. Maryland Living Wage Affidavit of Agreement for Service Contracts

A. This contract is subject to the Living Wage requirements under Md. Code Ann., State Finance and Procurement Article, Title 18, and the regulations proposed by the Commissioner of Labor and Industry (Commissioner). The Living Wage generally applies to a Contractor or subcontractor who performs work on a State contract for services that is valued at $100,000 or more. An employee is subject to the Living Wage if he/she is at least 18 years old or will turn 18 during the duration of the contract; works at least 13 consecutive weeks on the State Contract and spends at least one-half of the employee’s time during any workweek on the State Contract.

B. The Living Wage Law does not apply to:

(1) A Contractor who:
   (a) Has a State contract for services valued at less than $100,000, or
   (b) Employs 10 or fewer employees and has a State contract for services valued at less than $500,000.

(2) A subcontractor who:
   (a) Performs work on a State contract for services valued at less than $100,000,
   (b) Employs 10 or fewer employees and performs work on a State contract for services valued at less than $500,000, or
   (c) Performs work for a Contractor not covered by the Living Wage Law as defined in B (1)(b) above, or B (3) or C below.

(3) Service contracts for the following:
   (a) Services with a Public Service Company;
   (b) Services with a nonprofit organization;
   (c) Services with an officer or other entity that is in the Executive Branch of the State government and is authorized by law to enter into a procurement (“Unit”); or
   (d) Services between a Unit and a County or Baltimore City.

C. If the Unit responsible for the State contract for services determines that application of the Living Wage would conflict with any applicable Federal program, the Living Wage does not apply to the contract or program.

D. A Contractor must not split or subdivide a State contract for services, pay an employee through a third party, or treat an employee as an independent Contractor or assign work to employees to avoid the imposition of any of the requirements of Md. Code Ann., State Finance and Procurement Article, Title 18.

E. Each Contractor/subcontractor, subject to the Living Wage Law, shall post in a prominent and easily accessible place at the work site(s) of covered employees a notice of the Living Wage Rates, employee rights under the law, and the name, address, and telephone number of the Commissioner.

F. The Commissioner shall adjust the wage rates by the annual average increase or decrease, if any, in the Consumer Price Index for all urban consumers for the Washington/Baltimore metropolitan area, or any successor index, for the previous calendar year, no later than 90 days after the start
of each fiscal year. The Commissioner shall publish any adjustments to the wage rates on the Division of Labor and Industry’s website. An employer subject to the Living Wage Law must comply with the rate requirements during the initial term of the contract and all subsequent renewal periods, including any increases in the wage rate, required by the Commissioner, automatically upon the effective date of the revised wage rate.

G. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer’s share of the health insurance premium, as provided in Md. Code Ann., State Finance and Procurement Article, §18-103(c), shall not lower an employee’s wage rate below the minimum wage as set in Md. Code Ann., Labor and Employment Article, §3-413. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer’s share of health insurance premium shall comply with any record reporting requirements established by the Commissioner.

H. A Contractor/subcontractor may reduce the wage rates paid under Md. Code Ann., State Finance and Procurement Article, §18-103(a), by no more than 50 cents of the hourly cost of the employer’s contribution to an employee’s deferred compensation plan. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer’s contribution to an employee’s deferred compensation plan shall not lower the employee’s wage rate below the minimum wage as set in Md. Code Ann., Labor and Employment Article, §3-413.

I. Under Md. Code Ann., State Finance and Procurement Article, Title 18, if the Commissioner determines that the Contractor/subcontractor violated a provision of this title or regulations of the Commissioner, the Contractor/subcontractor shall pay restitution to each affected employee, and the State may assess liquidated damages of $20 per day for each employee paid less than the Living Wage.

J. Information pertaining to reporting obligations may be found by going to the Division of Labor and Industry website http://www.dllr.state.md.us/labor/prev/livingwage.shmtl and clicking on Living Wage for State Service Contracts.
F-1 Maryland Living Wage Requirements Affidavit of Agreement

Contract No. E00B9400036

Name of Contractor:

Address:

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):

☐ Offeror is a nonprofit organization
☐ Offeror is a public service company
☐ Offeror employs 10 or fewer employees and the proposed contract value is less than $500,000
☐ 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 its commitment to comply with Title 18, State Finance and Procurement Article, Annotated Code of Maryland and, if required, submit all payroll reports to the Commissioner of Labor and Industry with regard to the above stated contract. The 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 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 Offeror affirms it has no covered employees for the following reasons: (check all that apply):

☐ The employee(s) proposed to work on the contract will spend less than one-half of the employee’s time during any work week on the contract
☐ The employee(s) proposed to work on the contract is 17 years of age or younger during the duration of the contract; or
☐ The employee(s) proposed to work on the 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: __________________________ Date: __________________

SUBMIT THIS AFFIDAVIT WITH PROPOSAL
Attachment G. Federal Funds Attachments

This solicitation does not include a Federal Funds Attachment.
Attachment H. Conflict of Interest Affidavit and Disclosure

Reference COMAR 21.05.08.08

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 Offeror, TO 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 Proposal is made.

C. The 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 Offeror agrees that if an actual or potential conflict of interest arises after the date of this affidavit, the Offeror shall immediately make a full disclosure in writing to the TO Procurement Officer of all relevant facts and circumstances. This disclosure shall include a description of actions, which the 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 TO Contractor shall continue performance until notified by the TO 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)

SUBMIT THIS AFFIDAVIT WITH Bid/PROPOSAL
THIS NON-DISCLOSURE AGREEMENT ("Agreement") is made by and between the State of Maryland (the "State"), acting by and through the Register of Wills (the "ROW"), and ___________________________________ (the "TO Contractor").

RECITALS

WHEREAS, the TO Contractor has been awarded a contract (the "TO Agreement") following the solicitation for Help Desk, Application and System Support Solicitation # E00B9400036; and

WHEREAS, in order for the TO Contractor to perform the work required under the TO Agreement, it will be necessary for the State at times to provide the TO Contractor and the TO Contractor’s employees, agents, and subcontractors (collectively the “TO Contractor’s Personnel”) with access to certain information the State deems confidential information (the “Confidential Information”).

NOW, THEREFORE, in consideration of being given access to the Confidential Information in connection with the solicitation 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, General Provisions §4-101(h)) 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. The 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. The 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 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 Attachment I-2. TO Contractor shall update Attachment I-2 by adding additional names (whether TO Contractor’s Personnel or a subcontractor’s personnel) 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 TO Agreement or will otherwise have a role in performing any aspect of the TO Agreement, 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. The TO Contractor hereby agrees to hold the Confidential Information in trust and in strictest confidence, adopt or establish operating procedures and physical security measures, and 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
Information from falling into the public domain or into the possession of persons not bound to maintain the confidentiality of the Confidential Information.

5. The 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. The TO Contractor shall, at its own expense, return to the ROW all Confidential Information in its care, custody, control or possession upon request of the ROW or on termination of the TO Agreement.

7. A breach of this Agreement by the TO Contractor or the TO Contractor’s Personnel shall constitute a breach of the TO 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 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 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, in no event less restrictive than as set forth in this Agreement, and the TO Contractor shall provide originals of such executed Agreements to the State.

10. The parties further agree that:
   a. This Agreement shall be governed by the laws of the State of Maryland;
   b. 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;
   c. The State makes no representations or warranties as to the accuracy or completeness of any Confidential Information;
   d. The invalidity or unenforceability of any provision of this Agreement shall not affect the validity or enforceability of any other provision of this Agreement;
   e. Signatures exchanged by facsimile are effective for all purposes hereunder to the same extent as original signatures;
   f. The Recitals are not merely prefatory but are an integral part hereof; and
   g. The effective date of this Agreement shall be the same as the effective date of the TO Agreement entered into by the parties.
IN WITNESS WHEREOF, the parties have, by their duly authorized representatives, executed this Agreement as of the day and year first above written.

TO Contractor:  
By:  
(seal)  
Printed Name:  
Title:  
Date:  

ROW  
By:  
Printed Name:  
Title:  
Date:
# I-2 NON-DISCLOSURE AGREEMENT

LIST OF CONTRACTOR’S EMPLOYEES AND AGENTS WHO WILL BE GIVEN ACCESS TO THE CONFIDENTIAL INFORMATION

<table>
<thead>
<tr>
<th>Printed Name and Address of Individual/Agent</th>
<th>Employee (E) or Agent (A)</th>
<th>Signature</th>
<th>Date</th>
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</table>
I-3 NON-DISCLOSURE AGREEMENT

CERTIFICATION TO ACCOMPANY RETURN OR DELETION OF CONFIDENTIAL INFORMATION

I AFFIRM THAT:

To the best of my knowledge, information, and belief, and upon due inquiry, I hereby certify that: (i) all Confidential Information which is the subject matter of that certain Non-Disclosure Agreement by and between the State of Maryland and ________________ (“TO Contractor”) dated ________________, 20___ (“Agreement”) is attached hereto and is hereby returned to the State in accordance with the terms and conditions of the Agreement; and (ii) I am legally authorized to bind the TO Contractor to this affirmation. Any and all Confidential Information that was stored electronically by me has been permanently deleted from all of my systems or electronic storage devices where such Confidential Information may have been stored.

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, HAVING MADE DUE INQUIRY.

DATE: ____________________________

NAME OF TO CONTRACTOR: ____________________________

BY: ____________________________

(Signature)

TITLE: ____________________________

(Authorized Representative and Affiant)
Attachment J. HIPAA Business Associate Agreement

This solicitation does not require a HIPAA Business Associate Agreement.

Attachment K. Mercury Affidavit

This solicitation does not include the procurement of products known to include mercury as a component.
Attachment L. Location of the Performance of Services Disclosure

(Submit with Proposal)

Pursuant to Md. Ann. Code, State Finance and Procurement Article, § 12-111, and in conjunction with the Proposal submitted in response to Solicitation No. E00B9400036, the following disclosures are hereby made:

1. At the time of Proposal submission, the Offeror and/or its proposed subcontractors:
   ___ have plans
   ___ have no plans
   to perform any services required under the TO Agreement outside of the United States.

2. If services required under the contract are anticipated to be performed outside the United States by either the Offeror or its proposed subcontractors, the Offeror shall answer the following (attach additional pages if necessary):

   a. Location(s) services will be performed:
      __________________________________________________________
      __________________________________________________________
      __________________________________________________________

   b. Reasons why it is necessary or advantageous to perform services outside the United States:
      __________________________________________________________
      __________________________________________________________
      __________________________________________________________
      __________________________________________________________

The undersigned, being an authorized representative of the Offeror, hereby affirms that the contents of this disclosure are true to the best of my knowledge, information, and belief.

Date: ________________________________

Offeror Name:
By: ________________________________

Name: ________________________________

Title: ________________________________

Please be advised that the ROW may contract for services provided outside of the United States if: the services are not available in the United States; the price of services in the United States exceeds by an unreasonable amount the price of services provided outside the United States; or the quality of services in the United States is substantially less than the quality of comparably priced services provided outside the United States.
This Task Order Agreement ("TO Agreement") is made this day of Month, 20XX by and between _______________________________ (TO Contractor) and the STATE OF MARYLAND, Register of Wills (ROW or the "ROW").

IN CONSIDERATION of the mutual promises, 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 Register of Wills, as identified in the CATS+ TORFP # E00B9400036.
   b. "CATS+ TORFP" means the Task Order Request for Proposals # E00B9400036 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.
   d. "TO Procurement Officer" means Bernice Jeffries. The ROW may change the TO Procurement Officer at any time by written notice.
   e. "TO Agreement" means this signed TO Agreement between ROW and TO Contractor.
   f. "TO Contractor" means the CATS+ Master Contractor awarded this TO Agreement, whose principal business address is ___________________________________________
   g. "TO Manager" means Jasneet Kapur. The ROW 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 3 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:

   The TO Agreement,

   Exhibit A – CATS+ TORFP

   Exhibit B – TO Technical Proposal
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 term of this TO Agreement shall commence as of the “Notice to Proceed (NTP) “_________ and expire on ______________.

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 3 of the CATS+ TORFP, but no later than thirty (30) days after the ROW’s receipt of a proper invoice for services provided by the TO Contractor, acceptance by the ROW 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 ROW 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.

4.5 Liquidated Damages for MBE

1 The Master Contract requires the Master Contractor to comply in good faith with the MBE Program and Master Contract provisions. The State and the Master Contractor acknowledge and agree that the State will incur damages, including but not limited to loss of goodwill, detrimental impact on economic development, and diversion of internal staff resources, if the Master Contractor does not comply in good faith with the requirements of the MBE Program and MBE Contract provisions. The parties further acknowledge and agree that the damages the State might reasonably be anticipated to accrue as a result of such lack of compliance are difficult to ascertain with precision.
Therefore, upon issuance of a written determination by the State that the Master Contractor failed to comply in good faith with one or more of the specified MBE Program requirements or MBE Contract provisions, the Master Contractor shall pay liquidated damages to the State at the rates set forth below. The Master Contractor expressly agrees that the State may withhold payment on any invoices as a set-off against liquidated damages owed. The Master Contractor further agrees that for each specified violation, the agreed upon liquidated damages are reasonably proximate to the loss the State is anticipated to incur as a result of such violation.

(a) Failure to submit each monthly payment report in full compliance with COMAR 21.11.03.13B (3): $131.84 per day until the monthly report is submitted as required.

(b) Failure to include in its agreements with MBE subcontractors a provision requiring submission of payment reports in full compliance with COMAR 21.11.03.13B (4): $65.92 per MBE subcontractor.

(c) Failure to comply with COMAR 21.11.03.12 in terminating, canceling, or changing the scope of work/value of a contract with an MBE subcontractor and amendment of the MBE participation schedule: the difference between the dollar value of the MBE participation commitment on the MBE participation schedule for that specific MBE firm and the dollar value of the work performed by that MBE firm for the Contract.

(d) Failure to meet the Master Contractor’s total MBE participation goal and sub goal commitments: the difference between the dollar value of the total MBE participation commitment on the MBE participation schedule and the MBE participation actually achieved.

(e) Failure to promptly pay all undisputed amounts to an MBE subcontractor in full compliance with the prompt payment provisions of the Contract: $100.00 per day until the undisputed amount due to the MBE subcontractor is paid.

Notwithstanding the assessment or availability of liquidated damages, the State reserves the right to terminate the Task Order and exercise any and all other rights or remedies which may be available under the Task Order or Law.

SIGNATURES ON NEXT PAGE
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, ROW

________________________________________

By: Bernice Jeffries, TO Procurement Officer

Date

Witness: _______________________

Approved for form and legal sufficiency this _____ day of _____________ 20___.

________________________________________

Assistant Attorney General
Appendix 1. Abbreviations and Definitions

For purposes of this TORFP, the following abbreviations or terms have the meanings indicated below:

Application Program Interface (API) - Code that allows two software programs to communicate with each other

A. Business Day(s) – The official working days of the week to include Monday through Friday. Official working days excluding State Holidays (see definition of “Normal State Business Hours” below).


C. Data Breach – The unauthorized acquisition, use, modification or disclosure of State data, or other Sensitive Data.

D. Effective Date - The date of mutual TO Agreement execution by the parties.

E. Information Technology (IT) – All electronic information-processing hardware and software, including: (a) maintenance; (b) telecommunications; and (c) associated consulting services.

F. Key Personnel – All TO Contractor Personnel identified in the solicitation as such that are essential to the work being performed under the Task Order. See TORFP Section 3.10.

G. 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.

H. Minority Business Enterprise (MBE) – Any legal entity certified as defined at COMAR 21.01.02.01B (54) which is certified by the Maryland Department of Transportation under COMAR 21.11.03.

I. 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: www.dbm.maryland.gov – keyword: State Holidays.

J. Notice to Proceed (NTP) – A written notice from the TO Procurement Officer that work under the Task Order, project or Work Order (as applicable) is to begin as of a specified date. The NTP Date is the start date of work under the Task Order, project or Work Order. 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.

K. NTP Date – The date specified in a NTP for work on Task Order, project or Work Order to begin.

L. Offeror – A Master Contractor that submits a Proposal in response to this TORFP.

M. 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 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.

N. 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.

O. Register of Wills or (ROW or the “ROW”)

P. 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.

Q. Security or Security Measures – The technology, policy and procedures that a) protects and b) controls access to networks, systems, and data

R. Sensitive Data - Means PII;PHI; 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. Govt. § 10-1301(c) and information not subject to disclosure under the Public Information Act, Title 4 of the General Provisions Article; and 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

S. Service Level Agreement (SLA) - Commitment by the TO Contractor to the ROW that defines the performance standards the TO Contractor is obligated to meet.


U. Task Order (TO) – The scope of work described in this TORFP.

V. TO 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 M.

W. TO Contractor Personnel - Employees and agents and subcontractor employees and agents performing work at the direction of the TO Contractor under the terms of the Task Order awarded from this TORFP.

X. TO Proposal – As appropriate, either or both of an Offeror’s TO Technical or TO Financial Proposal.

Y. Technical Safeguards – The technology and the policy and procedures for its use that protect State Data and control access to it.

Z. Third Party Software – Software and supporting documentation that:
   1) are owned by a third party, not by the State, the TO Contractor, or a subcontractor,
   2) are included in, or necessary or helpful to the operation, maintenance, support or modification of the Solution; and
   3) were specifically identified and listed as Third Party Software in the Proposal.

AA. Total Proposal Price - The Offeror’s total proposed price for services in response to this solicitation, included in the TO Financial Proposal with Attachment B – TO Financial Proposal Form, and used in the financial evaluation of Proposals (see TORFP Section 5.5).

BB. 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.

CC. 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 TO Contractor fulfillment, and which may not require a TO Agreement modification. Except as otherwise provided, any reference to the Task Order shall be deemed to include reference to a Work Order.
# Appendix 2. Offeror Information Sheet

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<td>Company Name</td>
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<td>Street Address</td>
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<td>City, State, Zip Code</td>
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<tr>
<td>TO Contractor Federal Employer Identification Number (FEIN)</td>
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<tr>
<td>TO Contractor eMM ID number</td>
<td>As of the date of Proposal submission, are you registered to do business with the state of Maryland?</td>
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## SBE / MBE/ VSBE Certification

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<td>Expiration Date:</td>
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<td>Expiration Date:</td>
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<td>Expiration Date:</td>
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Categories to be applied to this solicitation (dual certified firms must choose only one category).

## Offeror Primary Contact

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<td>Name</td>
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<td>Title</td>
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<tr>
<td>Office Telephone number (with area code)</td>
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<tr>
<td>Cell Telephone number (with area code)</td>
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<tr>
<td>e-mail address</td>
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## Authorized Offer Signatory

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<td>Office Telephone number (with area code)</td>
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<tr>
<td>Cell Telephone number (with area code)</td>
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<tr>
<td>e-mail address</td>
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Appendix 3. 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 ____ (Master Contractor)_______ has provided Maryland Transportation Authority with a summary of the security clearance results for all of the candidates that will be working on Task Order (Help desk, Application and System Support E00B9400036) 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
Appendix 4  Personnel Resume Summary

INSTRUCTIONS:

1. For each Key Personnel proposed, complete one Labor Category Personnel Resume Summary. Additional information may be attached to each Labor Category Personnel Resume Summary that may assist a full and complete understanding of the individual being proposed.

2. For this TORFP,

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

   B. A Master Contractor may only propose against labor categories in the Master Contractor’s CATS+ Master Contract Financial Proposal.

   C. A Master Contractor’s entire TO Technical Proposal will be deemed not susceptible for award if any of the following occurs:

      1) Failure to follow these instructions.
      2) Failure to propose a resource for each job title or labor category identified in the TORFP as a required submission.
      3) Failure of any proposed resource to meet minimum requirements as listed in this TORFP and in the CATS+ Master Contract.
**Appendix 4A LABOR CLASSIFICATION PERSONNEL RESUME SUMMARY**

**CATS+ TORFP # E00B9400036**

<table>
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<tr>
<th>Proposed Individual:</th>
<th>Master Contractor:</th>
<th>CATS+ Labor Category:</th>
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<tr>
<td>Insert the education description from the CATS+ RFP from Section 2.10 for the applicable labor category</td>
<td>Institution/Address</td>
<td>Degree or Certification</td>
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<th><strong>Generalized Experience:</strong></th>
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<td>Insert the generalized experience description from the CATS+ RFP from Section 2.10 for the applicable labor category</td>
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<td>End</td>
<td>Company/Job Title</td>
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<td>Insert the specialized experience description from the CATS+ RFP from Section 2.10 for the applicable labor category,</td>
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<tr>
<th><strong>TORFP Additional Requirements</strong></th>
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<tr>
<td>Minimum qualifications and required certifications as defined in Section 1 of this TORFP.</td>
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</table>

Provide dates in the format of MM/YY to MM/YY
Help Desk, Application and System Support
Solicitation #: E00B9400036

The information provided on this form for this labor category is true and correct to the best of my knowledge:

TO Contractor Representative: Proposed Individual:

Signature Signature

Printed Name: Printed Name

Date Date