AMENDMENT ACKNOWLEDGEMENT FORM

CATS+ TORFP # OTHS/OTH-14-002-S
Blanket Purchase Order #: N00B44000085
ENTERPRISE CONTENT MANAGEMENT
SYSTEM (ECMS) OPERATIONS AND MAINTENANCE (O&M) SUPPORT SERVICES

Amendment Acknowledgement:

The Offeror: ____________________ acknowledges receipt of Amendment No. 5 and is made aware of the changes contained therein. By signing this form the Offeror accepts the changes as part of the contract requirement.

____________________     _________________
Authorized Signature     Date

Note: This form must be signed and returned to the Procurement Officer by 2:00 p.m. on December 19, 2014.
AMENDMENT ACKNOWLEDGEMENT FORM

CATS+ TORFP # OTHS/OTHS-14-002-S
Blanket Purchase Order #: N00B44000085
ENTERPRISE CONTENT MANAGEMENT
SYSTEM (ECMS) OPERATIONS AND MAINTENANCE (O&M) SUPPORT SERVICES

Amendment Acknowledgement:

The Offeror: ____________________ acknowledges receipt of Amendment No. 6
and is made aware of the changes contained therein. By signing this form the Offeror
accepts the changes as part of the contract requirement.

____________________     _________________
Authorized Signature                                                           Date

Note: This form must be signed and returned to the Procurement Officer by 2:00 p.m.
on December 19, 2014.
ENTERPRISE CONTENT MANAGEMENT SYSTEM (ECMS) TORFP
SOLICITATION #: N00B4400085 OTHS/OTHS -14-002-S

QUESTIONS and RESPONSES: SERIES 2

QUESTION #1: Given the length of our audited financial statements, can Bidders provide these documents via website URL link or in electronic format only?

RESPONSE: No. Master Contractors shall provide hard copies of the audited financial statements.

QUESTION #2: Please confirm if the correct delivery address for proposals (both mail or hand delivery) is:

Department of Human Resources Information Services
1100 Eastern Boulevard
Essex, MD 21221

RESPONSE: Yes. This will be addressed via Amendment #4.

QUESTION #3: Can bidders include a transmittal letter to precede the Technical proposal?

RESPONSE: Master Contractors may include a transmittal letter. However, one is not required.

QUESTION #4: Who is responsible for the ECMS software costs?

RESPONSE: The TO Contractor is responsible for ECMS software costs. Please refer to TORFP Sections 2.5.1.H and 2.5.7.1.2.

QUESTION #5: Confirm the list of software that would need to be maintained. What is the current list of software and the end date for the current licenses in place?

RESPONSE: A list will be provided as Attachment #31 via Amendment #4.

QUESTION #6: Confirm the business hours of operations Mon-Sat 7am-8pm.

RESPONSE: Confirmed. The hours of operation are Mon.- Sat. from 7 a.m. to 8 p.m.

QUESTION #7: Need to confirm the key and non-key personnel. There is a discrepancy of resources defined in the RFP for the non key personnel. Also, please provide qualifications for non-key positions.
RESPONSE: See Amendment #4. Per Section 2.10, in reference to non-key personnel: The TO Contractor shall ensure the individuals it uses to fill these categories meet the required qualifications outlined in the CATS+ RFP.

QUESTION #8: States the business hours for TO Contractor to manage the application from 7 AM - 8 PM, but also mentions these application needs to be supported 24x7. Need Clarification on whether the hours supported outside the regular hours are billed hourly on a T&M basis.

RESPONSE: Master Contractors are expected to include costs associated with this support into their fully burdened rates.

QUESTION #9: The TORFP mentions about 20 spare workstations. Do we need to procure these or does DHR already have them?

RESPONSE: The TO Contractor is required to procure the workstations. See revisions to Attachment 1-C via Amendment #4.

QUESTION #10: DHR will provide standards for response within 30 calendar days after NTP. Then how would we estimate for proposal? Need to add assumption and risk to SLA response times listed in Sec 2.5.14.

RESPONSE: Please see Amendment #4.

QUESTION #11: In regards to the ECMS user database- Does the database already exist or does the successful Bidder need to build one from scratch? If so, can this be done via Excel or Access?

RESPONSE: Yes, a database exists within the ECMS. The TO Contractor is not required to build one.

QUESTION #12: In 2.5.1.Y, the vendor is directly performing database administration for the ECMS databases. Please confirm that this is the expectation for the new contract period.

RESPONSE: Yes, the TO Contractor is responsible for database administration.

QUESTION #13: Can you provide more information about the Trouble Resolution Confirmation Call, such as what it is? The Minimum Acceptable Service Level for this standard does not seem to sync with the information in 2.5.14 Table 1 which does not call for 24x7x365 response availability. Which table takes precedence?

RESPONSE: Information on the Resolution Call may be found in TORFP Section 2.5.6. The Department revised the Service Level- see Amendment #4.
QUESTION #14: Call Pickup. RFP Section 2.5.6 reads in part, “In the event that the OTHS help desk cannot successfully resolve the issue, the Remedy ticket/request will be emailed to the ECMS Help Desk.” Given that tickets will be sent to the TO Contractor via email, what incoming calls are required to meet this measure?

RESPONSE: Normally there are no incoming calls. As is explained in 2.5.6: “In the event the ECMS Help Desk receives any phone calls, faxes or e-mails directly from end users, the ECMS Help Desk shall direct the worker to first contact the OTHS help desk.”

QUESTION #15: System Trouble Resolution Time to repair system and peripheral hardware. The Minimum Acceptable Service Level for this standard does not seem to sync with the information in 2.5.14 Table 1 which allow for 1 to 3 business days is an onsite visit is required, depending on the classification. Which table takes precedence?

RESPONSE: See Amendment #4.

QUESTION #16: Are the training and surplus workstations required under Section 2.5.1.U and 2.5.1.V to be stored at the DHR location considered “State property provided for Contractor use” under this requirement? Will DHR issue a new TO to purchase additional equipment if the number of surplus workstations required exceeds expectations? If not, how many surplus workstations should the TO Contractor purchase?

RESPONSE: See the response to Question #9 above.

QUESTION #17: TORFP Section 2.10.A.2 reads, “Possess three (5) years of experience…” Is the required number of years of experience 3 or 5?

RESPONSE: It should read “three (3).” See Amendment #4.

QUESTION #18: Does DHR expect 1 semi-monthly timesheet with information about all employees or a semi-monthly timesheet for each employee? The TORFP text reads, “…shall submit a semi-monthly timesheet…,” but later reads, “Title: ‘Time Sheet for Staff Name.’”

RESPONSE: DHR requires one (1) semi-monthly timesheet that contains information for all employees. See Amendment #4.

By:
Richard Wright
Procurement Officer
Issued: November 21, 2014
QUESTION #1: In the DHR hardware standards, under desktop standards. Uninterrupted Power Supply (UPS) is listed as a workstation requirement. Since UPS is not listed on the pricing sheet, we would like to confirm if UPS is part of the Tech Refresh, and if so, how should the UPS cost be provided in the response?

RESPONSE: Master Contractors should include the cost for UPSs as part of their proposed workstation prices. Minimum standards for the UPS units can be found in Attachment 30.

QUESTION #2: The Computers and Scanners listed in the Tech Refresh pricing sheet may no longer be available. We assume that the TO Contractor is allowed to refresh this equipment using the DHR HW standards requirements set forth in Attachment 30. Please confirm.

RESPONSE: If any hardware listed on Attachment 1-C is unavailable, the TO Contractor may refresh the equipment pursuant to DHR’s Minimum Hardware Standards (see Attachment 30).

QUESTION #3: Who owns the current ECMS licenses? If it is not DHR, can the current licenses be transferred to DHR? Since the current licenses are not on the pricing sheet, how should this cost be provided in the response?

RESPONSE: DHR owns the licenses identified in Attachment 31 of the TOFRP, “Current ECMS Software.” Master Contractors may refer to TORFP Section 2.5.7.1 for additional information regarding software licenses. Master Contractors shall incorporate software costs into the fully burdened labor rates they provide.

By:
Richard Wright
Procurement Officer
Issued: December 2, 2014
Dear Master Contractors:

This Amendment is being issued to clarify certain information contained in the above named TORFP. All information contained herein is binding on all Master Contractors who respond to this TORFP. Specific parts of the TORFP have been amended. The changes are listed below. New language has been double underlined and marked in bold (i.e. word) and language that has been deleted has been marked with a strikethrough (i.e. word). Master Contractors shall submit the attached Amendment Acknowledgement Form by 2 p.m. local time, December 19, 2014

1. Revise the Key Information Summary Sheet (page 6), as follows:

   Closing Date and Time: December 19, 2014 at 2:00 PM Local Time

2. Revise TORFP Section 1.14 MINORITY BUSINESS ENTERPRISE, as follows:

This TORFP has MBE goals and sub-goals as stated in the Key Information Summary Sheet above. 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 2 Minority Business Enterprise Forms and Section 3 Task Order Proposal Format and Submission Requirements). 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.

1.14.1 MBE PARTICIPATION REPORTS

DHR will monitor both the TO Contractor’s efforts to achieve the MBE participation goal and compliance with reporting requirements.
A. Monthly reporting of MBE participation is required in accordance with the terms and conditions of the CATS+ Master Contract by the 15th day of each month.

B. The TO Contractor shall provide a completed MBE Prime Contractor Paid/Unpaid MBE Invoice Report (Attachment 2 - Form D-5) to DHR/OTHS at the same time the invoice is formally submitted.

C. The TO Contractor shall ensure that each MBE Subcontractor provides a completed monthly MBE Participation Form (Attachment 2 - Form D-6).

D. The TO Contractor shall provide all completed forms, copies of invoices and checks paid to the MBE directly to the TO Procurement Officer and TO Manager, if requested for audit.

E. The prime and sub-contractor must submit their respective monthly MBE Participation Forms (Attachment 2 – Forms D5 and D6) electronically to the designated email address to be determined at a later time. DHR/OTHS will monitor both the TO Contractor’s efforts to achieve the MBE participation goal and compliance with reporting requirements.

This TORFP has MBE goals and sub-goals as stated in the Key Information Summary Sheet above. 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 2 Minority Business Enterprise Forms and Section 3 Task Order Proposal Format and Submission Requirements). 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.

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.

1.14.1 MBE PARTICIPATION REPORTS

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C) The TO Contractor shall ensure that each MBE subcontractor provides a completed Subcontractor Paid/Unpaid MBE Invoice Report (Attachment 2-5).
D) Subcontractor reporting shall be sent directly from the subcontractor to the TO Requesting Agency. The TO Contractor shall e-mail all completed forms, copies of invoices and checks paid to the MBE directly to the TO Manager.

3. Revise TORFP Section 3.3, SUMMARY OF ATTACHMENTS, as follows:

   No attachment forms shall be altered and signatures shall be clearly visible.

   A. The following attachments shall be included with the TO Technical Proposal:

      1. Minority Business Enterprise Participation (Attachments D-1 – D-2); (Attachment 2 – MBE forms D-1A);
      2. Attachment 4 – Conflict of Interest Affidavit and Disclosure;
      3. Attachment 5 – Labor Classification Personnel Resume Summaries;
      4. Attachment 13 – Living Wage Affidavit of Agreement;
      5. Attachment 15 – VSBE Utilization Form; and
      6. Attachment 16 – Certification Regarding Investments in Iran.

4. Revise TORFP LIST OF ATTACHMENTS, page 107, as follows:

<table>
<thead>
<tr>
<th>Attachment 2</th>
<th>Minority Business Enterprise Participation (Attachments D-1 – D-2)</th>
<th>Applicable</th>
<th>Submit with TO Technical Proposal</th>
</tr>
</thead>
</table>

5. Replace all MBE Attachments (Attachment 2) with new attachments.

Should you require clarification of the information provided in this Amendment, please contact me by email at richard.wright@maryland.gov or by phone at 410-238-1267

By:
Richard Wright
Procurement Officer
Issued: November 25, 2014
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<th>License Maintenance Type</th>
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QUESTIONS and RESPONSES: SERIES 4

QUESTION #1: Are Contractors to purchase maintenance licenses for all software listed on Attachment 31?
RESPONSE: Yes.

QUESTION #2: Are Contractors to purchase three years of maintenance to cover the base contract period?
RESPONSE: Yes. Contractors shall ensure the License Maintenance Types listed in Attachment 31 cover/run for the duration of the base contract period as well as renewal periods (if DHR exercises a renewal option).

QUESTION #3: Are Contractors to purchase new software licenses for the 20 new workstations and scanners?
RESPONSE: Yes. Master Contractors may refer to TORFP Section 2.5.1.J for additional information regarding software updates/replacement.

QUESTION #4: Are Contractors to purchase three years of maintenance for the 20 new workstations and scanners?
RESPONSE: Yes. The TO Contractor is required to include a three-year warranty for all workstation hardware components. Please refer to Attachment 30 for additional information.

QUESTION #5: How exactly are Contractors to apply software costs to the labor rates provided? Should they be applied evenly across all labor categories or applied to only a single labor type?
RESPONSE: That is for the Master Contractors to determine in the course of preparing their proposals. See Questions and Responses, Series #3; Question #3.

QUESTION #6 Will the State consider modifying the price sheet to isolate software and software maintenance separate from labor rates?
RESPONSE: No. As stated in the response to Questions and Responses, Series #3; Question #3, Master Contractors shall incorporate software costs into the fully burdened labor rates they provide.
TASK ORDER REQUEST FOR PROPOSALS (TORFP)  
STATE OF MARYLAND  
DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES  

OTH/S/OTH/14-002-S  
ENTERPRISE CONTENT MANAGEMENT  
SYSTEM (ECMS) OPERATIONS AND MAINTENANCE (O&M) SUPPORT SERVICES (REVISED)  

No. N00B4400085  
AMENDMENT NO. 5  
November 25, 2014

Dear Master Contractors:

This Amendment is being issued to clarify certain information contained in the above named TORFP. All information contained herein is binding on all Master Contractors who respond to this TORFP. Specific parts of the TORFP have been amended. The changes are listed below. New language has been double underlined and marked in **bold (i.e. word)** and language that has been deleted has been marked with a strikethrough (i.e. word). Master Contractors shall submit the attached Amendment Acknowledgement Form by 2 p.m. local time, December 19, 2014.

1. Revise the **Key Information Summary Sheet (page 6)**, as follows:

| Closing Date and Time: | December 12, 2014 at 2:00 PM Local Time |

2. Revise **TORFP Section 1.14 MINORITY BUSINESS ENTERPRISE**, as follows:

This TORFP has MBE goals and sub-goals as stated in the Key Information Summary Sheet above. 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 2 Minority Business Enterprise Forms and Section 3 Task Order Proposal Format and Submission Requirements). **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.**

**1.14.1 MBE PARTICIPATION REPORTS**

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

11.4.1 MBE PARTICIPATION REPORTS

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3. **Revise TORFP Section 3.3, SUMMARY OF ATTACHMENTS, as follows:**

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   A. The following attachments shall be included with the TO Technical Proposal:

   1. Minority Business Enterprise Participation (Attachments D-1 – D-2); *(Attachment 2 – MBE forms D-1A)*
   2. Attachment 4 – Conflict of Interest Affidavit and Disclosure;
   3. Attachment 5 – Labor Classification Personnel Resume Summaries;
   4. Attachment 13 – Living Wage Affidavit of Agreement;
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   6. Attachment 16 – Certification Regarding Investments in Iran.

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5. **Replace all MBE Attachments (Attachment 2) with new attachments.**

   Should you require clarification of the information provided in this Amendment, please contact me by email at richard.wright@maryland.gov or by phone at 410-238-1267

By:
*Richard Wright*
Procurement Officer
Issued: November 25, 2014
Dear Master Contractors:

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   (Attachment 2 – MBE forms D-1A – (Attachment 2 –1A);
   2. Attachment 4 – Conflict of Interest Affidavit and Disclosure;
   3. Attachment 5 – Labor Classification Personnel Resume Summaries;
   4. Attachment 13 – Living Wage Affidavit of Agreement;
   5. Attachment 14 – Mercury Affidavit
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   7. Attachment 16 – Certification Regarding Investments in Iran.

2. Revise TORFP LIST OF ATTACHMENTS, page 107, as follows:

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<td></td>
</tr>
</tbody>
</table>
Should you require clarification of the information provided in this Amendment, please contact me by email at richard.wright@maryland.gov or by phone at 410-238-1267

By:

Richard Wright
Procurement Officer
Issued: November 25, 2014
<p>| OFFICE NAME | ADDRESS | ADMIN | TOTAL WORKSTATIONS | Dell Optiplex 790 | Dell Optiplex 7010 | Fujitsu fi-6140 / fi-6140z \ non-flatbed (feeder) | Fujitsu fi-6240 / fi-6240z flatbed | Fujitsu fi-7160 \ non-flatbed | Fujitsu fi-7260 flatbed | TOTAL NON-FLATBED (FEEDER) | TOTAL FLATBED | PRICE FOR REFRESH PER LOCATION |
|-------------|---------|-------|--------------------|------------------|-------------------|--------------------------------|------------------|------------------|------------------|-----------------|------------------|-------------------|------------------|
| Saratoga State Center (SSC) | 311 W. Saratoga Street, Baltimore, MD 21201 | FIA, CSEA | 7 | 6 | 1 | 1 | 6 | 1 | 6 | $0.00 |
| Office of Special Projects | 311 W. Saratoga Street, Baltimore, MD 21201 | FIA | 2 | 2 | 2 | 2 | 0 | 2 | $0.00 |
| CHRIS | 1100 Eastern Blvd, Essex, MD 21221 | FIA | 1 | 1 | 1 | 1 | 0 | 1 | $0.00 |
| ALLEGANY COUNTY | | | | | | | | | | | | |
| Allegany County Department of Social Services (DSS) | 1 Frederick Street, Cumberland, MD 21502 | FIA, CSEA | 9 | 6 | 3 | 7 | 2 | 7 | 2 | $0.00 |
| Allegany County Human Resources Development Commission, Inc. (HRDC) | 30 Frederick Street, Cumberland, MD 21502 | OHEP | 1 | 1 | 1 | 1 | 0 | 1 | $0.00 |
| ANNE ARUNDEL COUNTY | | | | | | | | | | | | |
| Anne Arundel County DSS - Annapolis | 80 West Street Annapolis, MD 21401 | FIA | 7 | 4 | 3 | 5 | 2 | 5 | 2 | $0.00 |
| Anne Arundel County DSS - Glen Burnie | 1600 Ritchie Highway Glen Burnie, MD 21061 | FIA | 7 | 4 | 3 | 5 | 2 | 5 | 2 | $0.00 |
| Anne Arundel County Office of Child Support Enforcement (OCSE) (Metro Office) | 34 Carroll Street Annapolis, MD 21401 | CSEA | 5 | 4 | 1 | 2 | 3 | 2 | 3 | $0.00 |
| Anne Arundel County Economic Opportunity Committee, Inc. | 251 West Street Annapolis, MD 21401 | OHEP | 1 | 1 | 1 | 1 | 0 | 1 | $0.00 |
| BALTIMORE CITY | | | | | | | | | | | | |
| Baltimore City DSS – Curtis-Orangeville Center | 2919 E. Botte Street, 1st Fl, Baltimore, MD 21213 | FIA | 5 | 3 | 2 | 2 | 3 | 2 | 3 | $0.00 |
| Baltimore City DSS – Curtis-Orangeville Center | 1510 Guilford Avenue, 2nd Fl Rm 271 Baltimore, MD 21202 | FIA | 4 | 2 | 2 | 3 | 1 | 3 | 1 | $0.00 |
| Baltimore City DSS – Southwest Center | 1223 W. Pratt Street Baltimore, MD 21223 | FIA | 10 | 6 | 4 | 4 | 6 | 4 | 6 | $0.00 |
| Baltimore City DSS – NERO | 2000 N. Broadway Baltimore, MD 21213 | FIA | 11 | 8 | 3 | 7 | 4 | 7 | 4 | $0.00 |
| Baltimore City DSS – Harbor Heights Center | 300 N. Hilton Street Baltimore, MD 21229 | FIA | 6 | 4 | 2 | 4 | 2 | 4 | 2 | $0.00 |
| Baltimore City DSS – Northeast Center | 5818 Reservoir Road Baltimore, MD 21219 | FIA | 6 | 4 | 2 | 1 | 5 | 1 | 5 | $0.00 |
| Baltimore City DSS – Penn-north Center | 3500 Pennsylvania Avenue Baltimore, MD 21217 | FIA | 6 | 4 | 2 | 2 | 4 | 2 | 4 | $0.00 |
| Baltimore City DSS – Waterside Center | 15 Reservoir Avenue Baltimore, MD 21225 | FIA | 5 | 3 | 2 | 2 | 3 | 2 | 3 | $0.00 |
| Baltimore City DSS – Central Medical Assistance | 2000 N. Broadway, 2nd Fl, Baltimore, MD 21213 | FIA | 4 | 2 | 2 | 2 | 2 | 2 | 2 | $0.00 |</p>
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<th>ADMIN</th>
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<th>Dell Optiplex 7010</th>
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<th>Fujitsu fi-6240 / fi-6240z flatbed</th>
<th>Fujitsu fi-7160 non-flatbed</th>
<th>Fujitsu fi-7260 flatbed</th>
<th>TOTAL NON-FLATBED (FEEDER)</th>
<th>TOTAL FLATBED</th>
<th>PRICE FOR REFRESH PER LOCATION</th>
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**Baltimore County**

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<th>Fujitsu fi-6240 / fi-6240z flatbed</th>
<th>Fujitsu fi-7160 non-flatbed</th>
<th>Fujitsu fi-7260 flatbed</th>
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**Calvert County**

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<th>Fujitsu fi-7160 non-flatbed</th>
<th>Fujitsu fi-7260 flatbed</th>
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**Caroline County**

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### Price for Refresh Per Location

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<td>120 Carmel Drive Centreville, MD 21617</td>
<td>CSEA</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Queen Anne’s County DSS</td>
<td>120 Carmel Drive Centreville, MD 21617</td>
<td>FA</td>
<td>5</td>
<td>2</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>Queen Anne’s County Department of Social</td>
<td>120 Carmel Drive Centreville, MD 21617</td>
<td>OHEP</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td><strong>ST. MARY’S COUNTY</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## ATTACHMENT 1-C - PRICE PROPOSAL FOR TECH REFRESH

Here is the plain text representation of the document as if you were reading it naturally:

<table>
<thead>
<tr>
<th>OFFICE NAME</th>
<th>ADDRESS</th>
<th>ADMIN</th>
<th>TOTAL WORKSTATIONS</th>
<th>Computers</th>
<th>Scanners</th>
<th>TOTAL NON-FLATBED</th>
<th>TOTAL FLATBED</th>
<th>PRICE FOR REFRESH PER LOCATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>St. Mary's County DSS (Satellite office)</td>
<td>21777 Great Mills Road Lexington Park, MD 20653</td>
<td>PA, CSEA</td>
<td>5 2 3 3 2</td>
<td>3 2</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>St. Mary's County DSS</td>
<td>25110 Leonard Hall Drive Leonardtown, MD 20650</td>
<td>PA, CSEA</td>
<td>10 6 4 7 3</td>
<td>7 3</td>
<td>$0.00</td>
<td></td>
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<td></td>
</tr>
<tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Somerset County DSS</td>
<td>30339 F. Vernon Road Princess Anne, MD 21853</td>
<td>PA, CSEA</td>
<td>7 4 3 3 4</td>
<td>3 4</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SHORE UP INC</td>
<td>501 Snow Hill Road Salisbury, MD 21803</td>
<td>OHEP</td>
<td>1 1 1 1 1</td>
<td>0 1</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TALBOT COUNTY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td>$0.00</td>
</tr>
<tr>
<td>Talbot County DSS</td>
<td>301 Bay Street, Unit S Easton, MD 21601</td>
<td>PA, CSEA</td>
<td>7 4 3 1 6</td>
<td>1 6</td>
<td>$0.00</td>
<td></td>
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</tr>
<tr>
<td>Neighborhood Services Center, Inc.</td>
<td>128 Post Street Easton, MD 21601</td>
<td>OHEP</td>
<td>1 1 1 1 1</td>
<td>0 1</td>
<td>$0.00</td>
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<td>WASHINGTON COUNTY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td>Washington County DSS</td>
<td>102 N. Potomac Street Hagerstown, MD 21740</td>
<td>PA, CSEA</td>
<td>12 6 6 9 3</td>
<td>9 3</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Action Council, Inc.</td>
<td>301 Summit Avenue Hagerstown, MD 21740</td>
<td>OHEP</td>
<td>1 1 1 1 1</td>
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<td>$0.00</td>
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<tr>
<td>WICOMICO COUNTY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td>Wicomico County DSS</td>
<td>201 Baptist Street, Ste 27 Salisbury, MD 21801</td>
<td>PA</td>
<td>8 4 4 4 4</td>
<td>4 4</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Wicomico County DSS – One Stop</td>
<td>31901 Tri-County Way Salisbury, MD 21804</td>
<td>PA, CSEA</td>
<td>4 4 2 2</td>
<td>2 2</td>
<td>$0.00</td>
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<tr>
<td>WORCESTER COUNTY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td>Worcester County DSS</td>
<td>269 Commerce Street Dover, MD 21803</td>
<td>PA</td>
<td>3 2 1 1 2</td>
<td>1 2</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Worcester County OCSE</td>
<td></td>
<td>CSEA</td>
<td>2 2 1 1 1</td>
<td>1 1</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TRAINING WORKSTATIONS</td>
<td>stored at 1100 Eastern Blvd, Easton MD 21221 + 1 is at PSI’s VT office to use for testing</td>
<td></td>
<td>5 5 3 3 2</td>
<td>3 2</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SURPLUS FROM ADVANCED FEATURES TO ORDER</td>
<td>currently with PSI hardware vendor</td>
<td></td>
<td>2 2 2 2</td>
<td>0 2</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional Surplus Workstations to be purchased by TO Contractor</td>
<td>stored at 1100 Eastern Blvd, Easton MD 21221 + 1 is at PSI’s VT office to use for testing</td>
<td></td>
<td>20 20 10 10</td>
<td>0 20</td>
<td>$0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTALS</td>
<td></td>
<td></td>
<td>429 221 208 169 240 5 15 174 255</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

Cross-Check for Total Price $0.00 $0.00 $0.00 $0.00 $0.00 $0.00 $0.00 $0.00 $0.00
Dear Master Contractors:

This amendment is being issued to amend certain information in the above-named TORFP. All information contained herein is binding on all Offerors who respond to this TORFP. Specific parts of the TORFP have been amended. The changes are listed below. New language has been double underlined and marked in bold (i.e. word), and language that has been deleted has been marked with a strikethrough (i.e. word).

1. Revise TORFP TABLE OF CONTENTS (page 5) as follows:

   ATTACHMENT 31 – CURRENT ECMS SOFTWARE.........................................................212

2. Add to TORFP “Key Information Summary Sheet” (page 6), as follows:

<table>
<thead>
<tr>
<th>Send Questions and TO Proposals to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Richard Wright</td>
</tr>
<tr>
<td>Department of Human Resources</td>
</tr>
<tr>
<td>Information Technology (DHRIS)</td>
</tr>
<tr>
<td>1100 Eastern Boulevard – Essex, MD 21221</td>
</tr>
<tr>
<td><a href="mailto:Richard.Wright@maryland.gov">Richard.Wright@maryland.gov</a></td>
</tr>
<tr>
<td>Office Phone Number: 410-238-1267</td>
</tr>
<tr>
<td>Office Fax Number: 410-238-1260</td>
</tr>
</tbody>
</table>

3. Revise TORFP Section 2.1 as follows:

   2.1 PURPOSE

   DHR’s OTHS is issuing this CATS + TORFP to obtain maintenance and system operation support services, as well as enhancement upgrades, for DHR’s web-based ECMS application from one (1) Master Contractor. Additional information regarding DHR’s ECMS is located in Section 2.3.
As part of the evaluation of the proposal for this TO, **Master Contractors shall propose exactly four (4) named key resources** and shall describe in a Staffing Plan how additional resources shall be acquired to meet the needs of the DHR, and shall do so by proposing a Service Level Agreement that details the timing plan and methodology for initial staffing.

While only four (4) labor categories are identified as Key Personnel to be available for evaluation, DHR will issue a Sub Task Order immediately upon TO award for four (4) **six (6)** additional Non-Key resources following the Sub Task Order Process in Section 2.17 for a total of eight (8) **ten (10)** resources at the start of the TO. DHR may request an additional ten (10) **nine (9)** resources, using the Sub Task Order process, for a maximum concurrent resource count of eighteen (18) **nineteen (19)**.

The following Labor Categories are Key Resources:

- Project Manager;
- Database Manager;
- Help Desk Specialist (Senior); and
- Administrator, Systems.

The following Labor Categories are Non- Key Resources DHR will add through a Sub Task Order upon TO award:

- Applications Development Expert;
- Help Desk Specialist (Senior);
- **Help Desk Specialist (Junior) (2)**
- Analyst, Systems (Senior); and
- Network Technician (Senior).

Additionally, DHR may, via the Sub Task Order process, request additional resources in any of the following Labor Categories:

- Project Manager
- Applications Development Expert
- Database Manager
- Help Desk Specialist (Junior) (2)
- Analyst, Systems (Senior)
- Network Technician (Senior)
- Administrator, Systems
- Testing Specialist; and
- Training Specialist/Instructor.
4. Revise TORFP Section 2.5.1.W, TO CONTRACTOR RESPONSIBILITIES, as follows:

Adhere to standards for application response times and meet all prescribed SLAs as outlined in Section 2.5.14 of this TORFP. DHR will provide the standards for response times within 30 Calendar Days of the NTP.

5. Revise TORFP Section 2.5.14, SERVICE LEVEL AGREEMENT – Table, as follows:

<table>
<thead>
<tr>
<th>Trouble Resolution Confirmation Call – Total time elapsed to provide trouble resolution confirmation.</th>
<th>All problems resolved</th>
<th>Immediately upon completion of transition-in</th>
</tr>
</thead>
<tbody>
<tr>
<td>100% within 15 minutes of trouble resolution 24x7x365; Sev 1 -100% within 15 minutes of resolution 24X7X365; Sev 2 &amp; Sev 3 – 100% within 15 minutes of resolution during normal hours of operation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>System Trouble Resolution Time to repair system and peripheral hardware.</th>
<th>Workstations and scanners running ECMS applications</th>
<th>90% within 2 hours during Normal hours of operation Sev. 1- Normal hours of operation 90% within 2 hours Sev. 2- Normal hours of operation, Monday-Friday excluding DHR holidays. 90% within 8 hours For repairs that require distance travel: Critical – 1 business day; Medium/Low – 2 business days; No urgency – 5 business</th>
<th>Immediately upon completion of transition-in</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6. Revise TORFP Section 2.10, TO CONTRACTOR AND OTHER PERSONNEL
OTHER REQUIREMENTS, as follows:

As stated in Section 2.1, DHR will issue Sub Task Orders to obtain resources for the following labor
categories:

- Project Manager;
- Database Manager;
- Senior Help Desk Specialist;
- Junior Help Desk Specialist (2);
- Analyst, Systems (Senior);
- Network Technician (Senior);
- Administrator, Systems;
- Testing Specialist; and
- Training Specialist/Instructor.

As stated in Section 2.1, DHR will issue Sub Task Orders to obtain resources for the following labor
categories:

- Applications Development Expert;
- Help Desk Specialist (Senior);
- Help Desk Specialist (Junior) (2)
- Analyst, Systems (Senior); and
- Network Technician (Senior).

Additionally per Section 2.1, DHR may issue Sub Task Orders for the following labor categories:

- Project Manager
- Applications Development Expert
- Database Manager
- Help Desk Specialist (Junior)
- Analyst, Systems (Senior)
- Network Technician (Senior)
- Administrator, Systems
- Testing Specialist; and
- Training Specialist/Instructor.

7. Revise TORFP Section 2.10.A.2, TO CONTRACTOR AND OTHER PERSONNEL
REQUIREMENTS, as follows:

A. The Master Contractor’s proposed Help Desk Specialist (Junior) shall:
2. Possess three (3) years of experience diagnosing, troubleshooting and resolving client issues with hardware maintenance, installations and upgrades.

8. Revise TORFP Section 2.16, TIME SHEET SUBMISSION AND ACCEPTANCE, as follows:

2.16 TIME SHEET SUBMISSION AND ACCEPTANCE

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 that contains data for all resources each resource provided under the TO.

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

A. Title: “Time Sheet for Staff Name”
B. Issuing company name, address, and telephone number
C. For each employee/resource:
   1) Employee / resource name
   2) The period’s end date, e.g., “Period Ending: mm/dd/yyyy” (Periods run 1st through 15th and 16th through last day of the month):
   3) Tasks completed that week and the associated deliverable names and ID#s
   4) Number of hours worked each day
   5) Total number of hours worked that Period
   6) Period variance above or below 40 hours
   7) Annual number of hours planned under the TO
   8) Annual number of hours worked to date
   9) Balance of hours remaining
   10) Annual variance to date (Sum of periodic variances)
D. Signature and date lines for the TO Manager

Time sheets shall be submitted to the TO Manager for approval by signature. TO Manager acceptance of timesheets shall acknowledge the accuracy of the time reported.

9. Add to TORFP Section 4.4, LIST OF ATTACHMENTS:

<table>
<thead>
<tr>
<th>Attachment 31</th>
<th>Current ECMS Software</th>
<th>Applicable</th>
<th>Do Not Submit with Technical Proposal</th>
</tr>
</thead>
</table>

10. Remove Attachment 1-A, provided on 10/9/2014 and replace it with Attachment 1-A (revised) provided on 11/19/2014.

11. Remove Attachment 1-C, provided on 10/9/2014 and replace it with Attachment 1-C (revised) provided on 11/19/2014.

Should you require clarification of the information provided in this Amendment, please contact me by email at richard.wright@maryland.gov or by phone at 410-238-1267.

By:
Richard Wright
Procurement Officer
Issued: November 21, 2014
The total class hours (Column B) are not to be construed as “guaranteed” hours; the total number of hours is an estimate only for purposes of price sheet evaluation.

A year for this task order shall be calculated as one calendar year from NTP. **Labor Rate Maximums**: The maximum labor rate that may be proposed for any CATS+ Labor Category shall not exceed the maximum for the CATS+ Master Contract year in effect on the TO Proposal due date.

<table>
<thead>
<tr>
<th>Job Title from TORFP</th>
<th>CATS+ Labor Category</th>
<th>Hourly Labor Rate</th>
<th>Total Hours</th>
<th>Total Proposed Price</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Three (3) Year Base – Year 1</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Manager - <strong>Key</strong></td>
<td>Project Manager</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Administrator, Systems - <strong>Key</strong></td>
<td>Administrator, Systems</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Database Manager - <strong>Key</strong></td>
<td>Database Manager</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Senior Help Desk Specialist (2 Resources, but only 1 is <strong>Key</strong> )</td>
<td>Senior Help Desk Specialist</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Junior Help Desk Specialist (2)</td>
<td>Junior Help Desk Specialist (2)</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Applications Development Expert</td>
<td>Applications Development Expert</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Analyst, Systems (Senior)</td>
<td>Analyst, Systems (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Network Technician (Senior)</td>
<td>Network Technician (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td><strong>Three (3) Year Base – Year 2</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Manager - <strong>Key</strong></td>
<td>Project Manager</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Administrator, Systems - <strong>Key</strong></td>
<td>Administrator, Systems</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Database Manager - <strong>Key</strong></td>
<td>Database Manager</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Senior Help Desk Specialist (2 Resources, but only 1 is <strong>Key</strong>)</td>
<td>Senior Help Desk Specialist</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Junior Help Desk Specialist (2)</td>
<td>Junior Help Desk Specialist (2)</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Applications Development Expert</td>
<td>Applications Development Expert</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Analyst, Systems (Senior)</td>
<td>Analyst, Systems (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Job Title from TORFP</td>
<td>CATS+ Labor Category</td>
<td>Hourly Labor Rate</td>
<td>Total Hours</td>
<td>Total Proposed Price</td>
</tr>
<tr>
<td>-----------------------------------------------------------</td>
<td>-----------------------------------------------</td>
<td>-------------------</td>
<td>-------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Network Technician (Senior)</td>
<td>Network Technician (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td><strong>Three (3) Year Base – Year 3</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Manager - <strong>Key</strong></td>
<td>Project Manager</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Administrator, Systems - <strong>Key</strong></td>
<td>Administrator, Systems</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Database Manager - <strong>Key</strong></td>
<td>Database Manager</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Senior Help Desk Specialist (2 Resources, but only 1 is <strong>Key</strong>)</td>
<td>Senior Help Desk Specialist</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Junior Help Desk Specialist (2)</td>
<td>Junior Help Desk Specialist (2)</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Applications Development Expert</td>
<td>Applications Development Expert</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Analyst, Systems (Senior)</td>
<td>Analyst, Systems (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Network Technician (Senior)</td>
<td>Network Technician (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
</tbody>
</table>

**Proposed Price- 3 Yr. Base Period** $ 

| **Option Year 1**                                          |                                               |                   |             |                      |
| Project Manager - **Key**                                 | Project Manager                               | $                 | 1960        | $                    |
| Administrator, Systems - **Key**                          | Administrator, Systems                        | $                 | 1960        | $                    |
| Database Manager - **Key**                                | Database Manager                              | $                 | 1960        | $                    |
| Senior Help Desk Specialist (2 Resources, but only 1 is **Key**) | Senior Help Desk Specialist                   | $                 | 3920        | $                    |
| Junior Help Desk Specialist (2)                           | Junior Help Desk Specialist (2)               | $                 | 3920        | $                    |
| Applications Development Expert                           | Applications Development Expert               | $                 | 1960        | $                    |
| Analyst, Systems (Senior)                                 | Analyst, Systems (Senior)                     | $                 | 1960        | $                    |
| Network Technician (Senior)                               | Network Technician (Senior)                   | $                 | 1960        | $                    |

**Proposed Price- Option Yr. 1** $ 

<p>| <strong>Option Year 2</strong>                                          |                                               |                   |             |                      |
| Project Manager - <strong>Key</strong>                                 | Project Manager                               | $                 | 1960        | $                    |
| Administrator, Systems - <strong>Key</strong>                          | Administrator, Systems                        | $                 | 1960        | $                    |
| Database Manager - <strong>Key</strong>                                | Database Manager                              | $                 | 1960        | $                    |</p>
<table>
<thead>
<tr>
<th>Job Title from TORFP</th>
<th>CATS+ Labor Category</th>
<th>Hourly Labor Rate</th>
<th>Total Hours</th>
<th>Total Proposed Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Help Desk Specialist (2 Resources, but only 1 is Key)</td>
<td>Senior Help Desk Specialist</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Junior Help Desk Specialist (2)</td>
<td>Junior Help Desk Specialist (2)</td>
<td>$</td>
<td>3920</td>
<td>$</td>
</tr>
<tr>
<td>Applications Development Expert</td>
<td>Applications Development Expert</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Analyst, Systems (Senior)</td>
<td>Analyst, Systems (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td>Network Technician (Senior)</td>
<td>Network Technician (Senior)</td>
<td>$</td>
<td>1960</td>
<td>$</td>
</tr>
<tr>
<td><strong>Proposed Price- Option Yr. 2</strong></td>
<td></td>
<td></td>
<td></td>
<td>$</td>
</tr>
<tr>
<td><strong>Total Proposed Price</strong></td>
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</tbody>
</table>

Authorized Individual Name

Company Name

Title

Company Tax ID #

Signature

Date

The Hourly Labor Rate is the actual rate the State will pay for services and shall be recorded in dollars and cents. The Hourly Labor Rate cannot exceed the Master Contract Rate but may be lower. Rates shall be fully loaded, all-inclusive, i.e., include all direct and indirect costs and profits for the Master Contractor to perform under the TO Agreement.
In The Matter Of:

PRE-PROPOSAL CONFERENCE
ENTERPRISE CONTENT MANAGEMENT SYSTEM

TASK ORDER REQUEST FOR PROPOSALS
October 31, 2014
OTH/OTH-14-002-S

COURT REPORTERS, ETCetera, INC.
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(410) 653-1115  1-800-947-DEPO  (202) 628-DEPO (3376)
PRE-PROPOSAL CONFERENCE
STATE OF MARYLAND
DEPARTMENT OF HUMAN RESOURCES
* * * * *
PRE-PROPOSAL CONFERENCE
TASK ORDER REQUEST FOR PROPOSALS
ENTERPRISE CONTENT MANAGEMENT SYSTEM (ECMS)
AND MAINTENANCE (OMS) SUPPORT SERVICES
(OTHS/OTHS-14-002-S) NOOB44000085
* * * * *
Friday, October 31, 2014
10:00 a.m. to 10:30 a.m.
* * * * *
Held at:
State of Maryland
Department of Human Resources
1100 Eastern Blvd.
Essex, Maryland
COURT REPORTERS, ETCetera, INC.
Maryland Washington
(410) 655-1115 (202) 628-DEPO
1-800-947-DEPO

IN ATTENDANCE
STATE OF MARYLAND:
Kenyatta Powers, CIO
Tanya Williams, Deputy CIO
Tiyashi Dastidar, Chief of Staff
Joe Reese, Procurement Specialist
L'Aaron Johnson, Procurement
Richard Wright, Procurement Specialist
Donna Foster, MBE Administrator
Sharon Little, OTHS
ATTORNEY GENERAL'S OFFICE:
Scott Moore
Maximus:
Brian Shea, Director
Powersolv, Inc.:
Beth Wong, VP, Business Development
CantonGroup:
Thomas Gardner, Director
PTS Solutions:
Khin Contrino, President

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PRE-PROPOSAL CONFERENCE

ONTARIO TECHNICAL SERVICES

Page 5

Welcome and Introduction:

RICHARD WRIGHT: Welcome to the
Pre-Proposal Conference. My name is Richard
Wright, a Procurement Specialist with OTHS.
Before we begin, just a few
housekeeping notes:
Restrooms are located along the main
hallway near the entrance. Water fountains can
also be found near the restrooms.
All visitors should have signed in
with the security guard upon entering the
building and received a visitor's sticker.
Please note visitors are not permitted throughout
the building without an escort.
In the event of an emergency, please
proceed to the nearest exit. Exit areas are located
at the front of the building, the rear of the
building, and the western side of the building.
Today we'll be sharing information
regarding the TORFP for Enterprise Content

Page 6

Management System Operations and Maintenance
Support Services, originally designated with
Agency Control Number OTS/OTHS-15-029-S.
If you haven't done so already, please
make sure you sign in on the Sign-In Sheet; leave
your business card, and identify yourself as
either a Minority Business Enterprise, or
Veterans Business Enterprise, or Small Business
Reserve Vendor, if applicable.

As we move through each section of the
Agenda, please hold your questions until we reach
the end of each section.
Also, for the purposes of the
transcription, please remember to state your name
and identify your firm or corporation prior to
asking your question. Court Reporters ETCetera,
Incorporated is recording today's proceedings.
We'll proceed now with introductions.
First we'll go around the room and have State
personnel introduce themselves.

Page 7

Chief Information Officer for DHR.
TANYA WILLIAMS: Tanya Williams,
Deputy CIO.
TIYASHI DASVIDA: Tiyashi Dastidar,
OTH. I'm Chief of Staff.
DONNA FOSTER: Donna Foster, Minority
Business Enterprise.
SCOTT MOORE: Scott Moore, Office of
the Attorney General.
SHARON LITTLE: Sharon Little, OTHS
Procurement.
JOE REESE: Joe Reese, OTHS
Procurement.
RICHARD WRIGHT: Now I would ask the
representatives from our Master Contractors
to introduce themselves, our guests.
BRIAN SHEA: Would that be us?
RICHARD WRIGHT: Yes.
BRIAN SHEA: Good morning. Brian Shea
with Maximus.

Page 8

BETH WONG: Beth Wong from Powersolv,
Inc.
TOM GARDNER: Tom Gardner with the
Canton Group, and we're an MBE.
KHIN CONTRINO: Khin Contrino with
Preferred Technology Solutions, MBE.
BRANDON HUMPHRIES: Brandon Humphries
TVCOFA Corporation, MBE.
LOUIS BULLOCK: Louis Bullock, SQN
Systems, MBE and Veteran.
RICHARD WRIGHT: Okay. Thank you.
We'll proceed now with opening remarks
from Kenyatta Powers, the Chief Information
Officer for OTHS.
THE COURT REPORTER: Another person
just came in.
RICHARD WRIGHT: That's Joyce
Westbrook.
KENYATTA POWERS: From Family
Investment Administration.
Good morning, Joyce.
JOYCE WESTBROOK: Good morning.
Opening Remarks:
KENYATTA POWERS: Good morning, ladies
and gentlemen, and welcome to the Pre-Proposal
Conference for the Enterprise Content Management
System, Task Order Request for Proposal. The
ECMS TORFP is intended to obtain maintenance and
support services as well as enhancement upgrades
for DHR's existing Enterprise Content Management
System.
This TORFP is essential to DHR, as the
current ECM System provided DHR with improvements
in accessing case documents, improvements in case
work efficiency, improvements with customer
service, and it also provided a foundation for
future automation.
The ECM system has also caught the eye
of the Department of Information Technology,
where they have actually asked DHR to conduct
demos, provide presentations and lessons learned
of our experience with the system to other state
agencies.

DHR is seeking a highly-qualified
business partner with experience in managing
large scale ECMS operations, and they will also
continue to allow DHR to lead state agencies with
ECMS guidance and support.
This TORFP is primarily structured to
provide maintenance and operation to the current
system. However, it is also designed with the
flexible to, at minimum: Make enhancements,
integrate other systems, and add equipment, as
funding becomes available.
We are delighted to have released this
TORFP and look forward to working with a business
partner that will help us mature our technology
services.

THANKS.

DONNA FOSTER: Thank you, Rick.
Key Information:
Good morning. Again, I'm Donna
Foster, Minority Business Enterprise
Administrator for the Department of Human
Resources.
Minority businesses are encouraged to
respond to this Task Order and network after the
Pre-Proposal Conference, as long as the room is
available.
It should be noted that the new
regulation regarding a Certified MBE Prime
Contractor meeting up to 50 percent of the
overall MBE goal, and 100 of any one sub-goal,
does not apply to this Task Order, as it results
from a Master Contract that was executed prior to
the effective date of the change.
There has been a 35 percent MBE goal
established for this Task Order, and sub-goals of
9 percent women, 6 percent African American, and
2 percent Hispanic American.

Now we'll cover highlights of Section
1.14, which covers Attachment 2 of the Task Order
Request for Proposal.
There are two MBE documents that must
be submitted with the Task Order proposal: The
MBE Utilization and Fair Solicitation Affidavit,
and the MBE Participation Schedule.
The MBE Utilization and Fair
Solicitation Affidavit, on this form the offeror
must indicate whether they plan to meet the MBE
goal and sub-goals, or indicate that they plan to
request a waiver, in whole or in part, of the MBE
goal and sub-goals.
The MBE Participation Schedule will
list all the subcontractors that will be
associated with this Task Order, the percentage
toward the MBE goal and sub-goals, and work to be
performed.
In addition, the offeror will
acknowledge that other MBE forms will be
required.
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<td>1. Failure to submit the MBE Utilization and Fair Solicitation Affidavit, and the MBE Participation Schedule with the Task Order Proposal, the Procurement Officer shall deem the bidder or offeror to be nonresponsive, or shall determine that the offeror is not reasonably susceptible of being selecting for award. Within 10 days of notification as the apparent awardee, the following documents are to be submitted: The Outreach Efforts Compliance Form, the Subcontractor Project Participation Certification, and Waiver documentation, if indicated on the MBE Utilization and Fair Solicitation Affidavit. If for any reason, after demonstrating a good faith effort, the successful bidder or offeror is unable to achieve the MBE goal or sub-goals, the bidder or offeror may request, in writing, a Request for a Waiver. Please pay close attention to Items 1 through 5 on Form D-7, for this information. Following attachments must be submitted with each Technical Proposal: Attachment 2, you must submit MBE Forms D-1 and D-2; Attachment 4, the Conflict of Interest Affidavit and Disclosure; Attachment 5, the Labor Classification Personnel Resume Summaries; Attachment 13, the Living Wage Affidavit of Agreement; Attachment 15, the VSBE Utilization form; and Attachment 16, Certification Regarding Investments in Iran. The following attachments shall be included with the TO Financial Proposal: Attachments 1A, 1B, 1C, and 1D, Price Proposals. The Office of Technology for Human Services is seeking a TO Contractor to provide maintenance and system operations support services, as well as enhancement upgrades for DHR's web-based ECMS application from one Master Contractor. A resulting TO Contract will be a combination of fixed price and time materials. Only one contract will be awarded.</td>
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<td>1. supports good faith efforts and documentation to support the Waiver. Please note that if the Waiver is denied, the bid or offer is rejected, and any other documents that are required by the Procurement Officer. Failure to submit these documents within the required time frame, the Procurement Officer may determine that the bidder or offeror is not responsible and, therefore, not eligible for award. If the Task Order Agreement has been awarded, the award is voidable. Any questions? (No Response.) DONNA FOSTER: Thank you. RICHARD WRIGHT: Thank you, Donna. Section 1: We'll proceed with an overview of Section 1, in short order, but first a couple of reminders. First of all, a reminder that the Court Reporters, ETCetera, Inc. &quot;We'll cover your job ANYWHERE in the country!&quot;</td>
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(4) Pages 13 - 16
1. Now we’ll move on to Section 3, which details the manner in which Technical and Financial Proposals are to be submitted.

2. Please remember that electronic submissions are not acceptable for this TORFP, and must be delivered to the address listed in the Key Information Sheet, in the form of hard copies and CD-ROM, exactly as specified in Sections 3.1 through 3.4.

3. I’ll now open the floor to any questions pertaining to Section 3. Please remember to state your name and identify your firm or corporation prior to asking your question.

4. (No Response.)

5. **RICHARD WRIGHT**: Very well. Thank you.

6. Section 4 - Procedure for Awarding Agreement: We’ll now move on to Section 4, which describes the procedures that will be used for evaluation and award. I trust that everyone has had a chance to read Section 4.

7. Please remember that prior to Price Proposals being opened, the Technical Proposals will be evaluated and ranked. The Technical Proposal carries more weight in terms of evaluation.

8. At this time, I’ll open the floor to anyone who has any questions pertaining to Section 4. Please remember to state your name and identify your firm or corporation prior to asking your question.

9. (No Response.)


11. Before we get into Section 2, the Scope of Work, I’d like to draw your attention to the two Amendments that have been issued thus far.

12. Amendments:

13. Amendment Number 1, issued on October 20th, 2014, adds Procurement Officer information...
Section 2 - Scope of Work:

KENYATTA POWERS: I wanted to highlight a few sections in Section 2 that are key features that you all may need to pay very close attention to.

The Purpose on Page 23, as Rick has stated, and I think is very key to repeat again:

The TO Contractor shall propose exactly four (4) named resources listed as Key Personnel that DHR will evaluate for purposes of TO award.

The TO Contractor shall describe in a Staffing Plan how additional resources shall be acquired to meet the needs of DHR.

At Contract award, DHR will issue a Sub Task Order with Notice to Proceed to authorize an additional four (4) Non-Key personnel staff, for a maximum startup total of eight (8) resources.

DHR may request an additional ten (10) resources using the Sub Task Order process, for a maximum concurrent resource count of eighteen resources.

Page 69, consists of the requirements for this TORFP, that includes Contractor Responsibilities, that consists of interaction with the other key contracting vendor, maintaining the ECMS help desk, hardware, software, and N-1 requirements, technology refresh, SLAs, backup and discovery, disaster recovery, continuity plan, and details around IV&V.

2.6.7.1 describes the Background Checks. The TO Contractor shall ensure its employees and subcontractors background check certifications are renewed annually at the TO Contractor's sole expense.

Section 2.7, please note that the Deliverable Acceptance criteria in Section 2.7.5, and the descriptions of each deliverable starting on Page 75 through 79.

In addition to the experience identified in the CATS+ Master Contract in Section 2.10, labor categories and qualifications, the TO Contractor personnel must...
1 also meet the specific qualifications in Section
2 2.9.2.
3 Section 2.14, Invoicing: The TO
4 Contractor shall submit invoices monthly, by the
5 15th business day of each month, which should
6 include an itemized billing for all work
7 completed and rendered for the previous
8 month.
9 Section 2.16 for Time Sheet Submission
10 and Acceptance: Within three business days after
11 the 15th, and the last day of the month, the TO
12 Contractor shall submit a semi-monthly time sheet
13 for the preceding half month, providing data for
14 all resources provided under the Task Order.
15 This section explains in detail the minimum
16 information that must be included in the time
17 sheets.
18 Time sheets shall be submitted to the
19 TO Manager for approval by signature.
20 Page 93, Section 2.17 explains the new
21 Sub Task Order process.

---

1 The issuance of Sub Task Orders will
2 be subject to Department priorities and
3 availability of funds.
4 Additional services or resources may
5 be provided via the Sub Task Order process. The
6 TO Contractor shall be required to respond to the
7 initial DHR request for a Sub Task Order within
8 ten (10) business days, or within the time frame
9 designated by the TO Manager.
10 Proposed personnel on any type of Sub
11 Task Order shall be approved by the TO Manager.
12 The TO Manager will issue an NTP after the Sub
13 Task Order is approved and/or interviews are
14 completed.
15 Are there any questions on Section 2?
16 Yes ma'am.
17 Questions:
18 BETH WONG: Beth Wong, Powersolv, Inc.
19 Is there an incumbent doing all this?
20 KENYATTA POWERS: Correct. Yes, it
21 is.
1 Brandon Humphries, TVCOFA Corporation.

Regarding the Minimum Qualifications,

5 DBA certification from an accredited institution,

6 will that course qualify as oracle (phonetic),

7 service certifications, or formal college?

8 KENYATTA POWERS: Repeat the question;

9 I didn't hear the first part.

10 Brandon Humphries: Section, Minimum Qualification, "The Master Contractor's proposed database Manager shall," and on Page 84, "Possess a DBA certification from an accredited institution." So, specifically, which institution -- I mean, what form of --

13 KENYATTA POWERS: What form of a accredited institution?

15 Brandon Humphries: Yeah.

17 KENYATTA POWERS: We'll have that answer in writing.

19 Tanya Williams: I'm sorry, you're asking what type of certification?

Brandon Humphries: Right.

Tanya Williams: The specific type of database, like if a SQL or --

Brandon Humphries: Right.

Tanya Williams: So, we'll answer that.

KENYATTA POWERS: So, I just want to be clear on your question: About the certification, or the type of institution?

Brandon Humphries: The certification, the SQL server, or would other ones qualify as well.

KENYATTA POWERS: Okay. Any other questions?

(No Response.)

KENYATTA POWERS: Thank you.

BETH WONG: Beth Wong again from Powersolv.

I notice all the required key resources doesn't provide the education qualification in terms of their background. It's more emphasized on the experience. Is that something it's a must, is more experience rather than education?

L'AARON JOHNSON: Part of the answer in the Master Contract has the qualifications for all positions, so that is the basis for the persons beginning to be qualified. And what we've done is specify the additional experience expected for the person to be evaluated on.

BETH WONG: So, it's again more focused on the experience rather than the education?

KENYATTA POWERS: It's both, because if you look at the Master Contract, it has specific qualifications for that particular category, so you have that qualification that you have to meet, in addition to what's stated in this TORFP.

BETH WONG: Okay.

KENYATTA POWERS: So, it's both.

BETH WONG: It's both, combination.

Okay.

KENYATTA POWERS: Yes?

Brandon Humphries, TVCOFA.

Can a totally new solution be proposed for the ECM application?

KENYATTA POWERS: Are we asking for a totally new --

Brandon Humphries: Is that possible?

Could that be proposed as well, too?

KENYATTA POWERS: You can propose it, but that's not necessarily what we're asking for.

Brandon Humphries: Okay.

CLARENCE HAWKINS: We're trying to maintain and operate our current solution. But, I mean, of course we'll listen to anything you got.

KENYATTA POWERS: Any other questions?

(No Response.)

RICHARD WRIGHT: Okay. Once again, no further questions?
1 (No Response.)
2 RICHARD WRIGHT: Kenyatta will be
3 offering closing remarks momentarily. Give you a
4 chance to ask any that you haven't asked. So,
5 looks like you don't, so Kenyatta will be
6 offering closing remarks.
7 Closing Remarks:
8 KENYATTA POWERS: So, first I'd just
9 like to thank you for your interest in possibly
10 bidding on the ECMS TORFP, and for attending this
11 Pre-Proposal Conference. I hope the information
12 that was provided was valuable and beneficial to
13 you and that could assist you in better preparing
14 for your Proposal.
15 DHR is eager to award this Contract to
16 dedicated and committed business partners.
17 Thank you again for your time.
18 RICHARD WRIGHT: Thank you, Kenyatta.
19 Please remember that any additional questions
20 must be e-mailed to me at:
21 Richard.wright@maryland.gov. The
22 cut-off date for submitting questions is November
23 25th, 2014 at 2:00 p.m.
24 Thank you.
25 (Conference concluded at 10:30 a.m.)

CERTIFICATE OF REPORTER
I, CHERYL JEFFERIES, a certified court
reporter, do hereby certify that the foregoing
Pre-Proposal Conference was stenographically and
electronically recorded by me and transcribed to
the best of my ability.
As witness my hand this 12th day of
November, 2014.

-------------------
CHERYL JEFFERIES
COURT REPORTERS, ETCetera, INC.
"We'll cover your job ANYWHERE in the country!"
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(4) named - remember
PRE-PROPOSAL CONFERENCE
ENTERPRISE CONTENT MANAGEMENT SYSTEM

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<td>Richard Wright</td>
<td>OTHS</td>
<td>410-238-1267</td>
<td><a href="mailto:richard.wright@maryland.gov">richard.wright@maryland.gov</a></td>
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<tr>
<td>Sharon Little</td>
<td>OTHS</td>
<td>410-238-1215</td>
<td><a href="mailto:sharon.little@maryland.gov">sharon.little@maryland.gov</a></td>
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<td>Donna Foster</td>
<td>MBE Liaison</td>
<td>410-767-8812</td>
<td><a href="mailto:donna.foster@maryland.gov">donna.foster@maryland.gov</a></td>
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<tr>
<td>Tom Gardner</td>
<td>The Canton Group</td>
<td>410-675-5708 X 7119</td>
<td><a href="mailto:tgardner@cantongroup.com">tgardner@cantongroup.com</a></td>
</tr>
<tr>
<td>Joe Reese</td>
<td>OTHS</td>
<td>410-238-1463</td>
<td><a href="mailto:Joe.Reese@Maryland.gov">Joe.Reese@Maryland.gov</a></td>
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<td>Kenyatta Davis</td>
<td>OTHS</td>
<td>410-567-2893</td>
<td><a href="mailto:Kenyatta.Davis@maryland.gov">Kenyatta.Davis@maryland.gov</a></td>
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<tr>
<td>L'Antron Johnson</td>
<td>OTHS</td>
<td>410-238-1376</td>
<td><a href="mailto:LAntron.Johnson@Maryland.gov">LAntron.Johnson@Maryland.gov</a></td>
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<tr>
<td>Joyce Westbrook</td>
<td>FIA</td>
<td>238-1999</td>
<td><a href="mailto:Joyce.Westbrook@Maryland.gov">Joyce.Westbrook@Maryland.gov</a></td>
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ATTACHMENT 2 MINORITY BUSINESS ENTERPRISE FORMS

The Minority Business Enterprise (MBE) subcontractor participation goal for this solicitation is 35% with sub-goals for Women-owned of 9%, African American-owned of 6%, and Hispanic American-owned of 2%.

TO CONTRACTOR MINORITY BUSINESS ENTERPRISE REPORTING REQUIREMENTS

CATS+ TORFP # N00B4400085

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 2-4A (Prime Contractor Paid/Unpaid MBE Invoice Report), 2-4B (MBE Prime Contractor Report) and 2-5 (Subcontractor Paid/Unpaid MBE Invoice Report) are attached for your use and convenience.

2) The TO Contractor must complete a separate Form 2-4A 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 2-5 report only. Therefore, if the subcontractor(s) do not submit 2-5 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 2-4A. 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.
ATTACHMENT 2-1A MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT & MBE PARTICIPATION SCHEDULE

INSTRUCTIONS

PLEASE READ BEFORE COMPLETING THIS FORM

This form includes Instructions and the MBE Utilization and Fair Solicitation Affidavit & MBE Participation Schedule which must be submitted with the bid/proposal. If the bidder/offeror fails to accurately complete and submit this Affidavit and Schedule with the bid or proposal as required, the Procurement Officer shall deem the bid non-responsive or shall determine that the proposal is 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 Invitation for Bids or 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 entities 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 a 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. NOTE: New 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 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. 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. For example, for a construction contract that has a 27% MBE overall participation goal and subgoals of 7% for African American firms and 4% for Asian American firms, subject to Section 4 above and this Section 5, a certified African American MBE prime can self-perform (a) up to 13.5% of the overall goal and (b) up to 7% of the African American subgoal. The remainder of the overall goal and subgoals would have to be met with other certified MBE firms or a waiver request.

For a services contract with a 30% percent MBE participation goal (overall) and subgoals of 7% for African-American firms, 4% for Asian American firms and 12% for women-owned firms, subject to Sections 4 above and this Section 5, a dually-certified Asian American/Woman MBE prime can self-perform (a) up to 15% of the overall goal and (b) up to four percent (4%) of the Asian American subgoal OR up to twelve percent (12%) of the women subgoal. Because it is dually-certified, the company can be designated as only ONE of the MBE classifications (Asian American or women) but can self-perform up to one hundred percent (100%) of the stated subgoal for the single classification it selects.

6. Subject to the restrictions stated in Section 5 above, when a certified MBE that 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 own forces toward fulfilling the contract goal, and not more than one of the contract subgoals, if any. For example, if a MBE firm is a joint venture partner and the State determines that it is performing with its own forces 35 percent of the work in the contract, it can use this portion of the work towards fulfilling up to fifty percent (50%) of the overall goal and up to one hundred percent (100%) of one of the stated subgoals, if applicable.

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 email 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 a bidder/offeror is unable to achieve the MBE participation goal and/or any subgoals (if applicable), the bidder/offeror must request a waiver in Item 1 of the MBE Utilization and Fair Solicitation Affidavit (Attachment 2-1A) or the bid will be deemed not responsive, 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: _____________%
- Total Asian American MBE Participation: _____________%
- Total Hispanic American MBE Participation: _____________%
- Total Women-Owned MBE Participation: _____________%

**Overall Goal**

- Total MBE Participation (include all categories): _____________%
ATTACHMENT 2-1A: MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT & MBE PARTICIPATION SCHEDULE

This MBE Utilization and Fair Solicitation Affidavit and MBE Participation Schedule MUST BE included with the bid/proposal for any solicitation with an MBE goal greater than 0%. If the Bidder/offeror fails to accurately complete and submit this Affidavit and Schedule with the bid or offer as required, the TO Procurement Officer shall deem the bid non-responsive or shall determine that the offer is not reasonably susceptible of being selected for award.

In conjunction with the bid or offer submitted in response to Solicitation No. ________________, I affirm the following:

1. MBE Participation (PLEASE CHECK ONLY ONE)

☐ I acknowledge and intend to meet the overall certified Minority Business Enterprise (MBE) participation goal of ____ percent and, if specified in the solicitation, the following subgoals (complete for only those subgoals that apply):
   - ____ percent African American-owned MBE firms
   - ____ percent Asian American-owned MBE firms
   - ____ percent Hispanic American-owned MBE firms
   - ____ percent Woman-Owned MBE firms

Therefore, I am not seeking a waiver pursuant to COMAR 21.11.03.11.

Notwithstanding any subgoals established above, 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.

OR

☐ I conclude that I am unable to achieve the MBE participation goal and/or subgoals. I hereby request a waiver, in whole or in part, of the overall goal and/or subgoals. Within 10 working days of receiving notice that our firm is the apparent awardee, I will submit completed Good Faith Efforts Documentation to Support Waiver Request (Attachment 2-1C) and all required waiver documentation in accordance with COMAR 21.11.03.

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) Outreach Efforts Compliance Statement (Attachment 2-2);
(b) MBE Subcontractor Project Participation Statement (Attachment 2-3);
(c) Any other documentation, including waiver documentation if applicable, required by the Procurement Officer to ascertain bidder or offeror responsibility in connection with the certified MBE participation goal and subgoals, if any.

I understand that if I fail to return each completed document within the required time, the Procurement Officer may determine that I am not responsible and therefore not eligible 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) the percentage of the total Contract amount allocated to each MBE for this project and, (iii) the items of work each MBE will provide under the Contract. I have confirmed with the MDOT database that the MBE firms identified below are performing work activities for which they are MDOT certified.

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<th>Prime Contractor:</th>
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</tr>
</thead>
<tbody>
<tr>
<td>(Firm Name, Address, Phone)</td>
<td></td>
</tr>
<tr>
<td>Project Number:</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>%</td>
</tr>
<tr>
<td>(If dually certified, check only one box.)</td>
<td></td>
</tr>
<tr>
<td>☐ African American-Owned</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>☐ Hispanic American-Owned</td>
<td>%</td>
</tr>
<tr>
<td>☐ Asian American-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Women-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Other MBE Classification</td>
<td></td>
</tr>
<tr>
<td>Description of the Work to be performed with MBE prime’s own forces:</td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>MBE Prime Firm Name:</th>
<th>Percentage of Total Contract to be performed by this MBE:</th>
<th>Description of the Work to be Performed:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(If dually certified, check only one box.)

- African American-Owned
- Hispanic American-Owned
- Asian American-Owned
- Women-Owned
- Other MBE Classification

<table>
<thead>
<tr>
<th>MBE Prime Firm Name:</th>
<th>Percentage of Total Contract to be performed by this MBE:</th>
<th>Description of the Work to be Performed:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(If dually certified, check only one box.)

- African American-Owned
- Hispanic American-Owned
- Asian American-Owned
- Women-Owned
- Other MBE Classification

<table>
<thead>
<tr>
<th>MBE Prime Firm Name:</th>
<th>Percentage of Total Contract to be performed by this MBE:</th>
<th>Description of the Work to be Performed:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(If dually certified, check only one box.)

- African American-Owned
- Hispanic American-Owned
- Asian American-Owned
- Women-Owned
- Other MBE Classification

<table>
<thead>
<tr>
<th>MBE Prime Firm Name:</th>
<th>Percentage of Total Contract to be performed by this MBE:</th>
<th>Description of the Work to be Performed:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(If dually certified, check only one box.)

- African American-Owned
- Hispanic American-Owned
- Asian American-Owned
- Women-Owned
- Other MBE Classification

CONTINUE ON SEPARATE PAGE IF NEEDED

I solemnly affirm under the penalties of perjury that I have reviewed the instructions for the MBE MBE Utilization & Fair Solicitation Affidavit and MBE Schedule and that the information included in the Schedule is true to the best of my knowledge, information and belief.

_________________________   ________________________
Bidder/Offeror Name    Signature of Authorized Representative

(PLEASE PRINT OR TYPE)

_________________________   ________________________
Address      Printed Name and Title
ENTERPRISE CONTENT MANAGEMENT SYSTEMS
MAINTENANCE AND OPERATIONS SUPPORT SERVICES

_________________________   ________________________
City, State and Zip Code    Date

SUBMIT AS INSTRUCTED IN TORFP
ATTACHMENT 2-1B: 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 bidder/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 bidder/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 a bidder/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 bidder/offeror has made. The efforts employed by the bidder/offeror should be those that one could reasonably expect a bidder/offeror to take if the bidder/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 bidder's/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 bidder/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 bidder/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 bid 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 bidder/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 bidder/offeror identified as possible items of work.
of work for performance by MBE Firms and should include all reasonably identifiable work opportunities.

**MBE Firms** – “MBE Firms” refers to a firm 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 bidder/offeror is responsible for making relevant portions of the work available to MBE subcontractors and suppliers and to 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 bidder's/offeror’s Good Faith Efforts when the bidder/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 Bid Items as Work for MBE Firms

1. Identified Items of Work in Procurements
   
   (a) Certain procurements will include a list of bid 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 bidder/offeror shall make all reasonable efforts to solicit quotes from MBE Firms to perform that work.
   
   (b) Bidders/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 Bidders/Offerors
   
   (a) When the procurement does not include a list of Identified Items of Work or for additional Identified Items of Work, bidders/offerors should reasonably identify sufficient items of work to be performed by MBE Firms.
   
   (b) Where appropriate, bidders/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 bidder/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 bidder/offeror shall make all reasonable efforts to solicit those MBE firms.

(b) Bidders/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 Bidders/Offerors

(a) When the procurement does not include a list of Identified MBE Firms, bidders/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 bidder/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 bidder/offeror should:

   (a) provide the written solicitation at least 10 days prior to bid opening to allow sufficient time for the MBE Firms to respond;

   (b) send the written solicitation by first-class mail, facsimile, or email using contact information in the MBE Directory, unless the bidder/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 bidder/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 bidder/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 bidder/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-bid 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

Bidders/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. A bidder/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 a bidder's/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 a MBE Firm’s quote is excessive or unreasonable include, without limitation, the following:

(a) the dollar difference between the MBE subcontractor’s quote and the average of the other subcontractors’ quotes received by the bidder/offeror;
(b) the percentage difference between the MBE subcontractor’s quote and the average of the other subcontractors’ quotes received by the bidder/offeror;

(c) the percentage that the MBE subcontractor’s quote represents of the overall contract amount;

(d) the number of MBE firms that the bidder/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) the number of quotes received by the bidder/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 bidder/offeror may not use its price for self-performing work as a basis for rejecting a MBE Firm’s quote as excessive or unreasonable.

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

7. A bidder/offeror shall not reject a 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 bidder/offeror concludes is not acceptable, the bidder/offeror must provide a written detailed statement listing the reasons for this conclusion. The bidder/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 a 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 bids 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 bidder/offeror:

1. made reasonable efforts to assist interested MBE Firms in obtaining the bonding, lines of credit, or insurance required by the procuring agency or the bidder/offeror; and
2. made reasonable efforts to assist interested MBE Firms in obtaining 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 bids or offers and subcontract bids 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 a bidder/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 bidders/offerors in meeting the contract. For example, when the apparent successful bidder/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 bidder/offeror could have met the goal. If the apparent successful bidder/offeror fails to meet the goal, but meets or exceeds the average MBE participation obtained by other bidders/offerors, this, when viewed in conjunction with other factors, could be evidence of the apparent successful bidder/offeror having made Good Faith Efforts.

IV. Documenting Good Faith Efforts

At a minimum, a bidder/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 2-1C, 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 bidder’s/offeror’s compliance with the outreach efforts prescribed by COMAR 21.11.03.09C(2)(a). (Complete Outreach Efforts Compliance Statement – Attachment 2-2).

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, email, telephone, etc.) (Complete Good Faith
Efforts Attachment 2-1C Part 2, and submit letters, fax cover sheets, emails, 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 2-1C, Part 3)

1. For each MBE Firm that the bidder/offeror concludes is not acceptable or qualified, a detailed statement of the reasons for the bidder's/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 bidder/offeror concludes has provided an excessive or unreasonable price, a detailed statement of the reasons for the bidder's/offeror’s conclusion, including the quotes received from all MBE and Non-MBE firms bidding 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 a MBE Unavailability Certificate (see Exhibit A to this Part 1) signed by the MBE contractor or a statement from the bidder/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 bidder’s/offeror’s Good Faith Efforts.

2. Submit any other documentation the bidder/offeror believes will help the Procurement Officer ascertain its Good Faith Efforts.
Exhibit A
MBE Subcontractor Unavailability Certificate

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

   ______________________________________________(Minority Firm), is either unavailable
   for the work/service or unable to prepare a bid 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 bid, 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
ATTACHMENT 2-1C: MBE ATTACHMENT
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST

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

____________________________________  ______________________________________
Company Name                     Signature of Representative

____________________________________                                __________________________
Address                            Printed Name and Title

____________________________________                                __________________________
City, State and Zip Code            Date
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST
Part 1 – Identified items of work bidder/offeror made available to MBE firms

Page __ of ___

<table>
<thead>
<tr>
<th>Identified Items of Work</th>
<th>Was this work listed in the procurement?</th>
<th>Does bidder/offeror normally self-perform this work?</th>
<th>Was this work made available to MBE Firms? If no, explain why?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
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<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
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<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
</tr>
</tbody>
</table>

Identify those items of work that the bidder/offeror made available to MBE Firms. This includes, where appropriate, those items the bidder/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 bidder’s/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 bid items identified during the goal setting process as possible items of work for performance by MBE Firms, the bidder/offeror should make all of those items of work available to MBE Firms or explain why that item was not made available. If the bidder/offeror selects additional items of work to make available to MBE Firms, those additional items should also be included below.
<table>
<thead>
<tr>
<th>□ Yes  □ No</th>
<th>□ Yes  □ No</th>
<th>□ Yes  □ No</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Yes      □ No</td>
<td>□ Yes      □ No</td>
<td>□ Yes      □ No</td>
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<td>□ Yes     □ No</td>
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<td>□ Yes  □ No</td>
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</table>

Please check if Additional Sheets are attached.
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST

Part 2 – identified MBE firms and record of solicitations

Page __ of ___

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
<th>Project Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solicitation Number:</td>
<td></td>
</tr>
</tbody>
</table>

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 bids/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 bidder/offeror should solicit all of those MBE Firms or explain why a specific MBE was not solicited. If the bidder/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 bidder/offeror that the MBE contractor refused to sign the Minority Contractor Unavailability Certificate (see Exhibit A to MBE Attachment 2-1B). If the bidder/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>Quot e Rec’d</th>
<th>Quot e Used</th>
<th>Reason Quote Rejected</th>
</tr>
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<tbody>
<tr>
<td>Firm Name:</td>
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<tr>
<td>MBE Classification (Check only if requesting waiver of MBE subgoal.)</td>
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<td>□ Women-Owned</td>
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<td>□ Other MBE Classification</td>
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Date:  
- Mail  
- Facsimile  
- Email

Date:  
- Phone  
- Mail  
- Facsimile  
- Email

Time of Call:  
- Spoke With:
  - □ Left Message

- □ Yes  □ No
- □ Yes  □ No
- □ Used Other MBE  □ Used Non-MBE  □ Self-performing

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES  
(Department or DHR)  
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHС)
**GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST**

**Part 3 – additional information regarding rejected MBE quotes**

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
<th>Project Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solicitation Number:</td>
<td></td>
</tr>
</tbody>
</table>

This form must be completed if Part 1 indicates that a MBE quote was rejected because the bidder/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 bid)</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>
</tr>
</thead>
<tbody>
<tr>
<td>□ Self-performing</td>
<td>$______</td>
<td>□ MBE</td>
<td>□ Price</td>
<td>□ Self-performing or Using Non-MBE</td>
<td></td>
</tr>
<tr>
<td>□ Using Non-MBE</td>
<td></td>
<td>□ Non-MBE</td>
<td>Capabilities</td>
<td>Other</td>
<td></td>
</tr>
<tr>
<td>□ Self-performing</td>
<td>$______</td>
<td>□ MBE</td>
<td>□ Price</td>
<td>□ Self-performing or Using Non-MBE</td>
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<td>□ Using Non-MBE</td>
<td></td>
<td>□ Non-MBE</td>
<td>Capabilities</td>
<td>Other</td>
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</tr>
</tbody>
</table>

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)

OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
<table>
<thead>
<tr>
<th>Describe Identified Items of Work Not Being Performed by MBE (Include spec/ section number from bid)</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>
</tr>
</thead>
<tbody>
<tr>
<td>□ Self-performing</td>
<td>$______</td>
<td>□ MBE □ Non-MBE</td>
<td>$______</td>
<td>□ Price □ Capabilities □ Other</td>
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<td>□ Using Non-MBE</td>
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<td>□ Price □ Capabilities □ Other</td>
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<td>□ Price □ Capabilities □ Other</td>
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<td>□ Self-performing</td>
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<td>□ MBE □ Non-MBE</td>
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<td>□ Price □ Capabilities □ Other</td>
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<td>□ Using Non-MBE</td>
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</table>

□ Please check if Additional Sheets are attached.
ATTACHMENT 2 -2: MBE ATTACHMENT
OUTREACH EFFORTS COMPLIANCE STATEMENT

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

In conjunction with the bid/proposal submitted in response to Solicitation No. N00B4400085, I state the following:

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

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

3. Bidder/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.
   □ Bidder/Offeror assisted MDOT-certified MBE firms to fulfill or seek waiver of bonding requirements. (DESCRIBE EFFORTS):   _______________________________________________

5. Please Check One:

   □ Bidder/Offeror did attend the pre-bid/pre-proposal conference.
   □ No pre-bid/pre-proposal meeting/conference was held.
   □ Bidder/Offeror did not attend the pre-bid/pre-proposal conference.

_________________________   ________________________  
Company Name     Signature of Representative

_________________________   ________________________
Address      Printed Name and Title

_________________________   ________________________
City, State and Zip Code    Date

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR) 
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
ATTACHMENT 2-3A: MBE ATTACHMENT
MBE SUBCONTRACTOR PROJECT PARTICIPATION CERTIFICATION

Please complete and submit one form for each certified MBE firm listed on the MBE Participation Schedule (Attachment 2-1A) within 10 Working Days of notification of apparent award. If the Bidder/Offeror fails to return this affidavit within the required time, the Procurement Officer may determine that the Bidder/Offeror is not responsible and therefore not eligible for Contract award.

Provided that ____________________________________________ (Prime Contractor’s Name) is awarded the State contract in conjunction with Solicitation No. _______________________, 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 products/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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<tbody>
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</tbody>
</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 Bid/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 Bid/Proposal;

(2) fail to notify the certified Minority Business Enterprise before execution of the Contract of its inclusion in the Bid/Proposal;

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
(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.

<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>
</tr>
<tr>
<td>Telephone:</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Date:</td>
<td>Date:</td>
</tr>
</tbody>
</table>
ATTACHMENT 2 MBE ATTACHMENT 2-3B

MBE PRIME PROJECT PARTICIPATION CERTIFICATION

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 2-1A) FOR PURPOSES OF MEETING THE MBE PARTICIPATION GOALS. THIS FORM MUST BE SUBMITTED WITHIN 10 WORKING DAYS OF NOTIFICATION OF APPARENT AWARD. IF THE BIDDER/OFFEROR FAILS TO RETURN THIS AFFIDAVIT WITHIN THE REQUIRED TIME, THE PROCUREMENT OFFICER MAY DETERMINE THAT THE BIDDER/OFFEROR IS NOT RESPONSIBLE AND THEREFORE NOT ELIGIBLE FOR CONTRACT AWARD.

Provided that _________________________________________________ (Prime Contractor’s Name) with Certification Number _________ is awarded the State contract in conjunction with Solicitation No. ____________, such MBE Prime Contractor intends to perform with its own forces at least $___________ which equals to ___% of the Total Contract Amount for performing the following products/services for the Contract:

<table>
<thead>
<tr>
<th>NAICS CODE</th>
<th>WORK ITEM, SPECIFICATION NUMBER, LINE ITEMS OR WORK CATEGORIES (IF APPLICABLE) For Construction Projects, General Conditions must be listed separately.</th>
<th>DESCRIPTION OF SPECIFIC PRODUCTS AND/OR SERVICES</th>
<th>VALUE OF THE WORK</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

MBE PRIME CONTRACTOR

Signature of Representative:

________________________________________

Printed Name and Title:

________________________________________

Firm’s Name:

________________________________________

Federal Identification Number:

________________________________________

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
ENTERPRISE CONTENT MANAGEMENT SYSTEMS
MAINTENANCE AND OPERATIONS SUPPORT SERVICES

Address:

Telephone:

Date:
This form must be completed monthly by the prime contractor.

**ATTACHMENT 2-4A: MBE PRIME CONTRACTOR PAID/UNPAID MBE INVOICE REPORT**

Department of Human Resources – Office of Technology for Human Resources
Minority Business Enterprise Participation

**Prime Contractor Paid/Unpaid MBE Invoice Report**

<table>
<thead>
<tr>
<th>Report #:</th>
<th>Contract #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Period (Month/Year):</td>
<td>Contracting Unit:</td>
</tr>
<tr>
<td><strong>Report is due to the MBE Officer by the 15th of the month following the month the services were provided.</strong></td>
<td>Contract Amount:</td>
</tr>
<tr>
<td><strong>Note: Please number reports in sequence</strong></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>
</tbody>
</table>

Prime Contractor:

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

MBE Subcontractor Name:

<table>
<thead>
<tr>
<th>Contact Person:</th>
<th>Phone:</th>
</tr>
</thead>
<tbody>
<tr>
<td>FAX:</td>
<td></td>
</tr>
</tbody>
</table>

Subcontractor Services Provided:

<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></td>
</tr>
<tr>
<td>2.</td>
<td></td>
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<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
<tr>
<td>Total Dollars Paid: $</td>
<td>Total Dollars Unpaid: $</td>
</tr>
</tbody>
</table>

**If more than one MBE subcontractor is used for this contract, you must use separate 2-4A forms.**

Information regarding payments that the MBE prime will use for purposes of meeting the MBE participation goals must be reported separately in Attachment 2-4B.

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

___________________________________
Contract Manager
___________________________________
Contracting Unit
___________________________________
(Department or Agency)
___________________________________
mailto:

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES
(Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
ENTERPRISE CONTENT MANAGEMENT SYSTEMS
MAINTENANCE AND OPERATIONS SUPPORT SERVICES

Signature:________________________________________________
Date:_____________________
(Required)
ATTACHMENT 2 MBE ATTACHMENT 2-4B MBE PRIME CONTRACTOR REPORT

Department of Human Resources Office of Technology for Human Resources
Minority Business Enterprise Participation
MBE Prime Contractor Report

MBE Prime Contractor:
Certification Number:
Report #: __________
Reporting Period (Month/Year): ___________
Report is due to the MBE Officer by the 15th of the month following the month the services were provided.
Note: Please number reports in sequence

Contract #: _______________________
Contracting Unit: _______________________
Contract Amount: _______________________
Total Value of the Work to the Self-Performed for purposes of Meeting the MBE participation goal/subgoals: _______________________
Project Begin Date: _______________________
Project End Date: _______________________

Contact Person:
Address:
City: State: ZIP:
Phone: Fax: E-mail:

<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>
<tbody>
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</tbody>
</table>

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

Signature: ________________________________
Date: ________________________________
Enterprise Content Management Systems
Maintenance and Operations Support Services

Number
N00B4400085
OTHS/OTHS-14-002-S

___________________________ Contract Monitor
___________________________ Contracting Unit
(Department)
_________________________________
_________________________________
_________________________________
_________________________________

Signature: ____________________________________________
Date: ____________________________________________
(Required)
**ATTACHMENT 2 MBE 2-5 SUBCONTRACTOR PAID/UNPAID MBE INVOICE REPORT**

Minority Business Enterprise Participation

Subcontractor Paid/Unpaid MBE Invoice Report

<table>
<thead>
<tr>
<th>Report#: ____</th>
<th>Contract #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Period (Month/Year): ________________</td>
<td>Contracting Unit:</td>
</tr>
<tr>
<td><strong>Report is due by the 15th of the month following the month the services were performed.</strong></td>
<td>MBE Subcontract Amount:</td>
</tr>
</tbody>
</table>

MBE Subcontractor Name:

MDOT Certification #: 

Contact Person: Email:

Address: 

City: State: ZIP:

Phone: FAX: 

Subcontractor Services Provided:

List all payments received from Prime Contractor during reporting period indicated above.

<table>
<thead>
<tr>
<th>Invoice</th>
<th>Amount</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>2.</td>
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<td>3.</td>
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<tr>
<td>4.</td>
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</tbody>
</table>

Total Dollars Paid: $_________________________

List dates and amounts of any unpaid invoices over 30 days old.

<table>
<thead>
<tr>
<th>Invoice</th>
<th>Amount</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
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<tr>
<td>2.</td>
<td></td>
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<tr>
<td>3.</td>
<td></td>
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<tr>
<td>4.</td>
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</tr>
</tbody>
</table>

Total Dollars Unpaid: $_____________________

Prime Contractor: Contact Person:

**Return one copy of this form to the following address (electronic copy with signature & date is preferred):**

___________________________ Contract Manager
____________________________ Contracting Unit
Department of Human Resources – OTHS

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
Signature: ____________________________ (Required)

Date: ____________________________ (Required)
ATTACHMENT 2 MINORITY BUSINESS ENTERPRISE FORMS

The Minority Business Enterprise (MBE) subcontractor participation goal for this solicitation is 35% with sub-goals for Women-owned of 9%, African American-owned of 6%, and Hispanic American-owned of 2%.

TO CONTRACTOR MINORITY BUSINESS ENTERPRISE REPORTING REQUIREMENTS

CATS+ TORFP # N00B4400085

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 2-4A (Prime Contractor Paid/Unpaid MBE Invoice Report), 2-4B (MBE Prime Contractor Report) and 2-5 (Subcontractor Paid/Unpaid MBE Invoice Report) are attached for your use and convenience.

2) The TO Contractor must complete a separate Form 2-4A 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 2-5 report only. Therefore, if the subcontractor(s) do not submit 2-5 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 2-4A. 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.
ATTACHMENT 2-1A MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT & MBE PARTICIPATION SCHEDULE

INSTRUCTIONS

PLEASE READ BEFORE COMPLETING THIS FORM

This form includes Instructions and the MBE Utilization and Fair Solicitation Affidavit & MBE Participation Schedule which must be submitted with the bid/proposal. If the bidder/offeror fails to accurately complete and submit this Affidavit and Schedule with the bid or proposal as required, the Procurement Officer shall deem the bid non-responsive or shall determine that the proposal is 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 Invitation for Bids or 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 entities 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 a 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. NOTE: New 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
A 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. 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. For example, for a construction contract that has a 27% MBE overall participation goal and subgoals of 7% for African American firms and 4% for Asian American firms, subject to Section 4 above and this Section 5, a certified African American MBE prime can self-perform (a) up to 13.5% of the overall goal and (b) up to 7% of the African American subgoal. The remainder of the overall goal and subgoals would have to be met with other certified MBE firms or a waiver request.

For a services contract with a 30% percent MBE participation goal (overall) and subgoals of 7% for African-American firms, 4% for Asian American firms and 12% for women-owned firms, subject to Sections 4 above and this Section 5, a dually-certified Asian American/Woman MBE prime can self-perform (a) up to 15% of the overall goal and (b) up to four percent (4%) of the Asian American subgoal OR up to twelve percent (12%) of the women subgoal. Because it is dually-certified, the company can be designated as only ONE of the MBE classifications (Asian American or women) but can self-perform up to one hundred percent (100%) of the stated subgoal for the single classification it selects.

6. Subject to the restrictions stated in Section 5 above, when a certified MBE that 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 own forces toward fulfilling the contract goal, and not more than one of the contract subgoals, if any. For example, if a MBE firm is a joint venture partner and the State determines that it is performing with its own forces 35 percent of the work in the contract, it can use this portion of the work towards fulfilling up to fifty percent (50%) of the overall goal and up to one hundred percent (100%) of one of the stated subgoals, if applicable.

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 email 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 a bidder/offeror is unable to achieve the MBE participation goal and/or any subgoals (if applicable), the bidder/offeror must request a waiver in Item 1 of the MBE Utilization and Fair Solicitation Affidavit (Attachment 2-1A) or the bid will be deemed not responsive, 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: _____________%
Total Asian American MBE Participation: _____________%
Total Hispanic American MBE Participation: _____________%
Total Women-Owned MBE Participation: _____________%

Overall Goal

Total MBE Participation (include all categories): _____________%
ATTACHMENT 2-1A: MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT & MBE PARTICIPATION SCHEDULE

This MBE Utilization and Fair Solicitation Affidavit and MBE Participation Schedule MUST BE included with the bid/proposal for any solicitation with an MBE goal greater than 0%. If the Bidder/offeror fails to accurately complete and submit this Affidavit and Schedule with the bid or offer as required, the TO Procurement Officer shall deem the bid non-responsive or shall determine that the offer is not reasonably susceptible of being selected for award.

In conjunction with the bid or offer submitted in response to Solicitation No. ____________________, I affirm the following:

1. MBE Participation (PLEASE CHECK ONLY ONE)

☐ I acknowledge and intend to meet the overall certified Minority Business Enterprise (MBE) participation goal of ____ percent and, if specified in the solicitation, the following subgoals (complete for only those subgoals that apply):

   ____ percent African American-owned MBE firms
   ____ percent Asian American-owned MBE firms
   ____ percent Hispanic American-owned MBE firms
   ____ percent Woman-Owned MBE firms

Therefore, I am not seeking a waiver pursuant to COMAR 21.11.03.11.

Notwithstanding any subgoals established above, 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.

OR

☐ I conclude that I am unable to achieve the MBE participation goal and/or subgoals. I hereby request a waiver, in whole or in part, of the overall goal and/or subgoals. Within 10 working days of receiving notice that our firm is the apparent awardee, I will submit completed Good Faith Efforts Documentation to Support Waiver Request (Attachment 2-1C) and all required waiver documentation in accordance with COMAR 21.11.03.

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) Outreach Efforts Compliance Statement (Attachment 2-2);
(b) MBE Subcontractor Project Participation Statement (Attachment 2-3);
(c) Any other documentation, including waiver documentation if applicable, required by the Procurement Officer to ascertain bidder or offeror responsibility in connection with the certified MBE participation goal and subgoals, if any.

I understand that if I fail to return each completed document within the required time, the Procurement Officer may determine that I am not responsible and therefore not eligible 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) the percentage of the total Contract amount allocated to each MBE for this project and, (iii) the items of work each MBE will provide under the Contract. I have confirmed with the MDOT database that the MBE firms identified below are performing work activities for which they are MDOT certified.

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
<th>Project Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Firm Name, Address, Phone)</td>
<td></td>
</tr>
<tr>
<td>Project Number:</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 own forces:</td>
</tr>
<tr>
<td>☐ African American-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Hispanic American-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Asian American-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Women-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Other MBE Classification</td>
<td></td>
</tr>
</tbody>
</table>

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
### SECTION B: For all Contractors (including MBE Primes in a Joint Venture)

<table>
<thead>
<tr>
<th>MBE Prime Firm Name: ____________________________</th>
<th>Percentage of Total Contract to be performed 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></td>
</tr>
<tr>
<td>☐ Hispanic American-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Asian American-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Women-Owned</td>
<td></td>
</tr>
<tr>
<td>☐ Other MBE Classification</td>
<td></td>
</tr>
<tr>
<td>Description of the Work to be Performed:</td>
<td></td>
</tr>
</tbody>
</table>

**CONTINUE ON SEPARATE PAGE IF NEEDED**

I solemnly affirm under the penalties of perjury that I have reviewed the instructions for the MBE MBE Utilization & Fair Solicitation Affidavit and MBE Schedule and that the information included in the Schedule is true to the best of my knowledge, information and belief.

_________________________   ________________________
Bidder/Offeror Name    Signature of Authorized Representative
(PLEASE PRINT OR TYPE)

_________________________   ________________________
Address      Printed Name and Title

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State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR) OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
ENTERPRISE CONTENT MANAGEMENT SYSTEMS
MAINTENANCE AND OPERATIONS SUPPORT SERVICES

_________________________   ________________________
City, State and Zip Code    Date

SUBMIT AS INSTRUCTED IN TORFP
ATTACHMENT 2- 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 bidder/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 bidder/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 a bidder/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 bidder/offeror has made. The efforts employed by the bidder/offeror should be those that one could reasonably expect a bidder/offeror to take if the bidder/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 bidder’s/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 bidder/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 MBEs (if State-funded) the bidder/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 bid 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 bidder/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 bidder/offeror identified as possible items of work.
of work for performance by MBE Firms and should include all reasonably identifiable work opportunities.

**MBE Firms** – “MBE Firms” refers to a firm 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.

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**II. Types of Actions Agency will Consider**

The bidder/offeror is responsible for making relevant portions of the work available to MBE subcontractors and suppliers and to 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 bidder's/offeror’s Good Faith Efforts when the bidder/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 Bid Items as Work for MBE Firms**

1. Identified Items of Work in Procurements
   
   (a) Certain procurements will include a list of bid 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 bidder/offeror shall make all reasonable efforts to solicit quotes from MBE Firms to perform that work.

   (b) Bidders/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 Bidders/Offerors
   
   (a) When the procurement does not include a list of Identified Items of Work or for additional Identified Items of Work, bidders/offerors should reasonably identify sufficient items of work to be performed by MBE Firms.

   (b) Where appropriate, bidders/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 bidder/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 bidder/offeror shall make all reasonable efforts to solicit those MBE firms.

(b) Bidders/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 Bidders/Offerors

(a) When the procurement does not include a list of Identified MBE Firms, bidders/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 bidder/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 bidder/offeror should:

   (a) provide the written solicitation at least 10 days prior to bid opening to allow sufficient time for the MBE Firms to respond;

   (b) send the written solicitation by first-class mail, facsimile, or email using contact information in the MBE Directory, unless the bidder/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 bidder/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 bidder/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 bidder/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-bid 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

Bidders/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. A bidder/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 a bidder's/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 a MBE Firm’s quote is excessive or unreasonable include, without limitation, the following:
   (a) the dollar difference between the MBE subcontractor’s quote and the average of the other subcontractors’ quotes received by the bidder/offeror;
(b) the percentage difference between the MBE subcontractor’s quote and the average of
the other subcontractors’ quotes received by the bidder/offeror;
(c) the percentage that the MBE subcontractor’s quote represents of the overall contract
amount;
(d) the number of MBE firms that the bidder/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) the number of quotes received by the bidder/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 bidder/offeror may not use its price for self-performing work as a basis for rejecting
a MBE Firm’s quote as excessive or unreasonable.

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

7. A bidder/offeror shall not reject a 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 bidder/offeror
concludes is not acceptable, the bidder/offeror must provide a written detailed statement
listing the reasons for this conclusion. The bidder/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 a 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 bids 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
bidder/offeror:

1. made reasonable efforts to assist interested MBE Firms in obtaining the bonding, lines of
credit, or insurance required by the procuring agency or the bidder/offeror; and
2. made reasonable efforts to assist interested MBE Firms in obtaining 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 bids or offers and subcontract bids 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 a bidder/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 bidders/offerors in meeting the contract. For example, when the apparent successful bidder/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 bidder/offeror could have met the goal. If the apparent successful bidder/offeror fails to meet the goal, but meets or exceeds the average MBE participation obtained by other bidders/offerors, this, when viewed in conjunction with other factors, could be evidence of the apparent successful bidder/offeror having made Good Faith Efforts.

IV. Documenting Good Faith Efforts

At a minimum, a bidder/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 2-1C, 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 bidder’s/offeror’s compliance with the outreach efforts prescribed by COMAR 21.11.03.09C(2)(a). (Complete Outreach Efforts Compliance Statement – Attachment 2-2).

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, email, telephone, etc.) (Complete Good Faith
Efforts Attachment 2-1C Part 2, and submit letters, fax cover sheets, emails, 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 2-1C, Part 3)

1. For each MBE Firm that the bidder/offeror concludes is not acceptable or qualified, a detailed statement of the reasons for the bidder's/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 bidder/offeror concludes has provided an excessive or unreasonable price, a detailed statement of the reasons for the bidder's/offeror’s conclusion, including the quotes received from all MBE and Non-MBE firms bidding 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 a MBE Unavailability Certificate (see Exhibit A to this Part 1) signed by the MBE contractor or a statement from the bidder/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 bidder’s/offeror’s Good Faith Efforts.

2. Submit any other documentation the bidder/offeror believes will help the Procurement Officer ascertain its Good Faith Efforts.
Exhibit A
MBE Subcontractor Unavailability Certificate

1. It is hereby certified that the firm of ________________________________
   (Name of Minority firm)
   located at ___________________________________________________________________
   (Number) (Street)
   __________________________________________________________________________
   (City) (State) (Zip)

   was offered an opportunity to bid on Solicitation No. ___________________________
   in __________________________ County by ________________________________
   (Name of Prime Contractor’s Firm)

   2. ________________________________________________ (Minority Firm), is either unavailable
   for the work/service or unable to prepare a bid 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 bid, 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
ATTACHMENT 2-1C: MBE ATTACHMENT
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST

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

____________________________________  ______________________________________
Company Name                      Signature of Representative

____________________________________  ______________________________________
Address                            Printed Name and Title

____________________________________  ______________________________________
City, State and Zip Code            Date
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST

Part 1 – Identified items of work bidder/offeror made available to MBE firms

Page __ of ___

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
<th>Project Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solicitation Number:</td>
<td></td>
</tr>
</tbody>
</table>

Identify those items of work that the bidder/offeror made available to MBE Firms. This includes, where appropriate, those items the bidder/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 bidder’s/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 bid items identified during the goal setting process as possible items of work for performance by MBE Firms, the bidder/offeror should make all of those items of work available to MBE Firms or explain why that item was not made available. If the bidder/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 bidder/offeror normally self-perform this work?</th>
<th>Was this work made available to MBE Firms? If no, explain why?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
</tr>
<tr>
<td></td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
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<tr>
<td></td>
<td>□ Yes □ No</td>
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<td></td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
<td>□ Yes □ No</td>
</tr>
</tbody>
</table>

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
<table>
<thead>
<tr>
<th></th>
<th>□ Yes □ No</th>
<th>□ Yes □ No</th>
<th>□ Yes □ No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td>□ Yes □ No</td>
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<td></td>
<td>□ Yes</td>
<td>□ No</td>
<td>□ Yes □ No</td>
</tr>
<tr>
<td>Please check if Additional Sheets are attached.</td>
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</tbody>
</table>
GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST

Part 2 – identified MBE firms and record of solicitations

Page __ of ___

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
<th>Project Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solicitation Number:</td>
<td></td>
</tr>
</tbody>
</table>

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 bids/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 bidder/offeror should solicit all of those MBE Firms or explain why a specific MBE was not solicited. If the bidder/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 bidder/offeror that the MBE contractor refused to sign the Minority Contractor Unavailability Certificate (see Exhibit A to MBE Attachment 2-1B). If the bidder/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>Quot e Rec’d</th>
<th>Quot e Used</th>
<th>Reason Quote Rejected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Firm Name:</td>
<td></td>
<td>Date:</td>
<td>Date:</td>
<td>Time of Call:</td>
<td>□ Yes</td>
<td>□ Yes</td>
<td>□ Used Other MBE</td>
</tr>
<tr>
<td>MBE Classification (Check only if requesting waiver of MBE subgoal.)</td>
<td></td>
<td>□ Mail</td>
<td>□ Phone</td>
<td>□ Left Message</td>
<td>□ No</td>
<td>□ No</td>
<td>□ Used Non-MBE</td>
</tr>
<tr>
<td>□ African American-Owned</td>
<td></td>
<td>□ Facsimile</td>
<td>□ Mail</td>
<td></td>
<td></td>
<td></td>
<td>□ Self-performing</td>
</tr>
<tr>
<td>□ Hispanic American-Owned</td>
<td></td>
<td>□ Email</td>
<td>□ Facsimile</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Asian American-Owned</td>
<td></td>
<td></td>
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<tr>
<td>□ Women-Owned</td>
<td></td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>□ Other MBE Classification</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
**GOOD FAITH EFFORTS DOCUMENTATION TO SUPPORT WAIVER REQUEST**

**Part 3 – additional information regarding rejected MBE quotes**

Page __ of ___

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
<th>Project Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solicitation Number:</td>
<td></td>
</tr>
</tbody>
</table>

This form must be completed if Part 1 indicates that a MBE quote was rejected because the bidder/offeror is using a Non-MBE or is self-performing the Identified Items of Work. Provide the Identified Items of 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 bid)</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>
</tr>
</thead>
<tbody>
<tr>
<td>□ Self-performing □ Using Non-MBE</td>
<td>$______</td>
<td>□ MBE □ Non-MBE</td>
<td>□ MBE □ Non-MBE</td>
<td>$______</td>
<td>□ Price □ Capabilities □ Other</td>
</tr>
<tr>
<td>□ Self-performing □ Using Non-MBE</td>
<td>$______</td>
<td>□ MBE □ Non-MBE</td>
<td>□ MBE □ Non-MBE</td>
<td>$______</td>
<td>□ Price □ Capabilities □ Other</td>
</tr>
</tbody>
</table>

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
### Describe Identified Items of Work Not Being Performed by MBE (Include spec/ section number from bid)

<table>
<thead>
<tr>
<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>
</tr>
</thead>
<tbody>
<tr>
<td>□ Self-performing</td>
<td>$________</td>
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<td></td>
<td>□ Price □ Capabilities □ Other</td>
</tr>
<tr>
<td>□ Using Non-MBE</td>
<td></td>
<td>□ MBE □ Non-MBE</td>
<td>$________</td>
<td>□ Price □ Capabilities □ Other</td>
</tr>
<tr>
<td>□ Self-performing</td>
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<td>□ Price □ Capabilities □ Other</td>
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<tr>
<td>□ Using Non-MBE</td>
<td></td>
<td>□ MBE □ Non-MBE</td>
<td>$________</td>
<td>□ Price □ Capabilities □ Other</td>
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<tr>
<td>□ Self-performing</td>
<td>$________</td>
<td></td>
<td></td>
<td>□ Price □ Capabilities □ Other</td>
</tr>
<tr>
<td>□ Using Non-MBE</td>
<td></td>
<td>□ MBE □ Non-MBE</td>
<td>$________</td>
<td>□ Price □ Capabilities □ Other</td>
</tr>
</tbody>
</table>

☐ Please check if Additional Sheets are attached.
ATTACHMENT 2 -2: MBE ATTACHMENT
OUTREACH EFFORTS COMPLIANCE STATEMENT

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

In conjunction with the bid/proposal submitted in response to Solicitation No. N00B4400085, I state the following:

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

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

3. Bidder/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.
□ Bidder/Offeror assisted MDOT-certified MBE firms to fulfill or seek waiver of bonding requirements. (DESCRIBE EFFORTS): _________________________________________________

5. Please Check One:

□ Bidder/Offeror did attend the pre-bid/pre-proposal conference.
□ No pre-bid/pre-proposal meeting/conference was held.
□ Bidder/Offeror did not attend the pre-bid/pre-proposal conference.

_________________________________________   ________________________
Company Name     Signature of Representative

_________________________________________   ________________________
Address      Printed Name and Title

_________________________________________   ________________________
City, State and Zip Code    Date

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES
(Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
ATTACHMENT 2- 3A: MBE ATTACHMENT
MBE SUBCONTRACTOR PROJECT PARTICIPATION CERTIFICATION

Please complete and submit one form for each certified MBE firm listed on the MBE Participation Schedule (Attachment 2-1A) within 10 Working Days of notification of apparent award. If the Bidder/Offeror fails to return this affidavit within the required time, the Procurement Officer may determine that the Bidder/Offeror is not responsible and therefore not eligible for Contract award.

Provided that _________________________________________________ (Prime Contractor’s Name) is awarded the State contract in conjunction with Solicitation No. __________________________, 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 products/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>
</tr>
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<tbody>
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</tr>
</tbody>
</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 Bid/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 Bid/Proposal;

(2) fail to notify the certified Minority Business Enterprise before execution of the Contract of its inclusion in the Bid/Proposal;

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
(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.

<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>
</tr>
<tr>
<td>Telephone:</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Date:</td>
<td>Date:</td>
</tr>
</tbody>
</table>
ATTACHMENT 2 MBE ATTACHMENT 2-3B

MBE PRIME PROJECT PARTICIPATION CERTIFICATION

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 2-1A) FOR PURPOSES OF MEETING THE MBE PARTICIPATION GOALS. THIS FORM MUST BE SUBMITTED WITHIN 10 WORKING DAYS OF NOTIFICATION OF APPARENT AWARD. IF THE BIDDER/OFFEROR FAILS TO RETURN THIS AFFIDAVIT WITHIN THE REQUIRED TIME, THE PROCUREMENT OFFICER MAY DETERMINE THAT THE BIDDER/OFFEROR IS NOT RESPONSIBLE AND THEREFORE NOT ELIGIBLE FOR CONTRACT AWARD.

Provided that __________________________(Prime Contractor’s Name) with Certification Number ___________ is awarded the State contract in conjunction with Solicitation No. __________, such MBE Prime Contractor intends to perform with its own forces at least $___________ which equals to ___% of the Total Contract Amount for performing the following products/services for the Contract:

<table>
<thead>
<tr>
<th>NAICS CODE</th>
<th>WORK ITEM, SPECIFICATION NUMBER, LINE ITEMS OR WORK CATEGORIES (IF APPLICABLE) For Construction Projects, General Conditions must be listed separately.</th>
<th>DESCRIPTION OF SPECIFIC PRODUCTS AND/OR SERVICES</th>
<th>VALUE OF THE WORK</th>
</tr>
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</tr>
</tbody>
</table>

MBE PRIME CONTRACTOR

Signature of Representative:

________________________________________

Printed Name and Title:

________________________________________

Firm’s Name:

________________________________________

Federal Identification Number:

________________________________________

State of Maryland- State of Maryland-DEPARTMENT OF HUMAN RESOURCES (Department or DHR)
OFFICE OF TECHNOLOGY FOR HUMAN SERVICES (OTHS)
This form must be completed monthly by the prime contractor.

ATTACHMENT 2-4A: MBE PRIME CONTRACTOR PAID/UNPAID MBE INVOICE REPORT

Department of Human Resources – Office of Technology for Human Resources
Minority Business Enterprise Participation

Prime Contractor Paid/Unpaid MBE Invoice Report

<table>
<thead>
<tr>
<th>Report #:</th>
<th>Contract #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Period (Month/Year):</td>
<td>Contracting Unit:</td>
</tr>
</tbody>
</table>

Report is due to the MBE Officer by the 15th of the month following the month the services were provided.

Note: Please number reports in sequence

<table>
<thead>
<tr>
<th>Report</th>
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</thead>
<tbody>
<tr>
<td>Contract #:</td>
</tr>
<tr>
<td>__________</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contract Amount:</th>
<th>MBE Subcontract Amt:</th>
</tr>
</thead>
<tbody>
<tr>
<td>__________________</td>
<td>----------------------</td>
</tr>
<tr>
<td>Project Begin Date:</td>
<td>Project End Date:</td>
</tr>
<tr>
<td>____________________</td>
<td>____________________</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Services Provided:</th>
</tr>
</thead>
<tbody>
<tr>
<td>____________________</td>
</tr>
</tbody>
</table>

Prime Contractor:

<table>
<thead>
<tr>
<th>Address:</th>
<th>State:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Person:</td>
<td>ZIP:</td>
</tr>
<tr>
<td>Phone:</td>
<td>FAX:</td>
</tr>
<tr>
<td>MBE Subcontractor Name:</td>
<td>Email:</td>
</tr>
<tr>
<td>Contact Person:</td>
<td></td>
</tr>
<tr>
<td>Phone:</td>
<td>FAX:</td>
</tr>
</tbody>
</table>

Subcontractor Services Provided:

List all payments made to MBE subcontractor named above during this reporting period:

<table>
<thead>
<tr>
<th>Invoice#</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<tr>
<td>2.</td>
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</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
</tbody>
</table>

Total Dollars Paid: $ _____________________

List dates and amounts of any outstanding invoices:

<table>
<thead>
<tr>
<th>Invoice #</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<tr>
<td>2.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
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</tbody>
</table>

Total Dollars Unpaid: $ _____________________

**If more than one MBE subcontractor is used for this contract, you must use separate 2-4A forms.**

Information regarding payments that the MBE prime will use for purposes of meeting the MBE participation goals must be reported separately in Attachment 2-4B.

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

_________________________________________ Contract Manager

_________________________________________ Contracting Unit

(Department or Agency)

_________________________________________ mailto:
Signature: __________________________________________
Date: ____________________
(Required)
# ATTACHMENT 2  MBE ATTACHMENT 2-4B MBE PRIME CONTRACTOR REPORT

Department of Human Resources Office of Technology for Human Resources  
Minority Business Enterprise Participation

MBE Prime Contractor Report

<table>
<thead>
<tr>
<th>MBE Prime Contractor:</th>
<th>Contract #: ________________________________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certification Number:</td>
<td>Contracting Unit: __________________________</td>
</tr>
<tr>
<td>Report #: __________</td>
<td>Contract Amount: ___________________________</td>
</tr>
<tr>
<td>Reporting Period (Month/Year): ______________</td>
<td>Total Value of the Work to the Self-Performed for purposes of Meeting the MBE participation goal/subgoals: __________________________</td>
</tr>
</tbody>
</table>

**Report is due to the MBE Officer by the 15th of the month following the month the services were provided.**  
**Note: Please number reports in sequence**

<table>
<thead>
<tr>
<th>Contact Person:</th>
<th>Address:</th>
</tr>
</thead>
<tbody>
<tr>
<td>City:</td>
<td>State:</td>
</tr>
<tr>
<td>Phone:</td>
<td>Fax:</td>
</tr>
</tbody>
</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>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

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

Signature: ____________________________________________
Date: __________________________
**Contract Monitor**

**Contracting Unit**

(Department)

Signature: ________________________________

Date: ________________________________  

(Required)
**This form must be completed monthly by MBE subcontractor.**

**ATTACHMENT 2 MBE 2-5 SUBCONTRACTOR PAID/UNPAID MBE INVOICE REPORT**

**Minority Business Enterprise Participation**

**Subcontractor Paid/Unpaid MBE Invoice Report**

<table>
<thead>
<tr>
<th>Report#: ____</th>
<th>Contract #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Period (Month/Year): ________________</td>
<td>Contracting Unit:</td>
</tr>
<tr>
<td><strong>Report is due by the 15th of the month following the month the services were performed.</strong></td>
<td>MBE Subcontract Amount:</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>

**MBE Subcontractor Name:**

**MDOT Certification #:**

**Contact Person:** Email:

**Address:**

City: State: ZIP:

**Phone:** FAX:

**Subcontractor Services Provided:**

List all payments received from Prime Contractor during reporting period indicated above.

<table>
<thead>
<tr>
<th>Invoice</th>
<th>Amount</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<td>2.</td>
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<tr>
<td>3.</td>
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<tr>
<td>4.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Dollars Paid: $_________________________

List dates and amounts of any unpaid invoices over 30 days old.

<table>
<thead>
<tr>
<th>Invoice</th>
<th>Amount</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<td>2.</td>
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<tr>
<td>3.</td>
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<tr>
<td>4.</td>
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</tr>
</tbody>
</table>

Total Dollars Unpaid: $_____________________

**Prime Contractor:** Contact Person:

**Return one copy of this form to the following address (electronic copy with signature & date is preferred):**

___________________________ Contract Manager
____________________________ Contracting Unit
Department of Human Resources – OTHS

**State of Maryland- DEPARTMENT OF HUMAN RESOURCES**

**Office of Technology for Human Services (OTHS)**