



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

**DLLR MIDAS MIGRATION  
CATS TORFP PROJECT P00P6202921**

**Department of Labor, Licensing & Regulation (DLLR)**

**ISSUE DATE: May 30, 2006**

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## KEY INFORMATION SUMMARY SHEET

This Consulting and Technical Services (CATS) Task Order Request for Proposals (TORFP) is issued to obtain the services necessary to satisfy the requirements defined in Section 2 Scope of Work. All CATS TO Contractors approved to perform work in the functional area under which this TORFP is released are invited to submit a Task Order (TO) Proposal to this TORFP. Those TO Contractors deciding not to submit a TO Proposal are required to submit the reason(s) why per Section 3.1 of the TORFP. In addition to the requirements of this TORFP, the TO Contractors are subject to all terms and conditions contained in the CATS RFP issued by the Maryland Department of Budget and Management (DBM), Office of Information Technology (OIT) and subsequent TO Contract Project Number 050R5800338, including any amendments.

<b>TORFP Title:</b>	<b>DLLR MIDAS Migration</b>
<b>Functional Area:</b>	<b>FA3, Electronic Document Management</b>
<b>TORFP Issue Date:</b>	05/30/2006
<b>Closing Date and Time:</b>	July 7, 2006 at 2:00 PM
<b>TORFP Issuing Agency:</b>	<b>Department of Labor, Licensing and Regulation</b>
<b>Send Questions and Proposals to:</b>	Patricia Tarpley Office Phone: (410) 230-6024 Fax: (410) 333-3384 Email address: <a href="mailto:ptarpley@dllr.state.md.us">ptarpley@dllr.state.md.us</a>
<b>TO Procurement Officer:</b>	<b>Patricia Tarpley</b> <b>Office Phone: (410) 230-6024</b> <b>Fax: (410) 333-3384</b> <b>Email address:</b> <a href="mailto:ptarpley@dllr.state.md.us">ptarpley@dllr.state.md.us</a>
<b>TO Manager:</b>	<b>Dennis Morton</b> <b>Office Phone: (410) 767-2488</b> <b>Email address: <a href="mailto:dmorton@dllr.state.md.us">dmorton@dllr.state.md.us</a></b>
<b>TO Project Number:</b>	P00P6202921
<b>TO Type:</b>	<b>Fixed price and Time and Materials</b>
<b>Period of Performance:</b>	2 years with 1, 1 year renewal option.
<b>MBE Goal:</b>	25 percent
<b>Small Business Reserve (SBR):</b>	No
<b>Primary Place of Performance:</b>	<b>Department of Labor, Licensing and Regulation, 1100 N. Eutaw Street, Baltimore, MD 21201</b>
<b>TO Pre-proposal Conference:</b>	<b>Department of Labor, Licensing and Regulation, 1100 N. Eutaw Street, Basement Conference Room, Baltimore, MD 21201</b> 06/14/2006 at 10:00 AM; See Attachment 6 for directions. <b>Note:</b> Following the Pre-Proposal Conference, a walk-thru with demonstration of the current system will be provided.

\*Use full agency acronym, division/modal, office, program as appropriate.

## NOTICE TO MASTER CONTRACTORS

All CATS TO Contractors approved to perform work in the functional area under which this TORFP is released are invited to submit a Task Order (TO) Proposal to this TORFP. Those TO Contractors deciding not to submit a TO Proposal are required to submit the reason(s) why per Section 3.1 of the TORFP. If you have chosen not to propose to this TORFP, you must complete and email this notice to TO Procurement Officer. If you are submitting a TO Proposal, we also ask that you take a few minutes and provide comments and suggestions regarding the enclosed TORFP.

TORFP Title:	<b>DLLR MIDAS Migration</b>
TORFP Project Number:	<b>P00P6202921</b>

1. If you have responded with a "not submitting Task Order Proposal", please indicate the reason(s) below:
  - Other commitments preclude our participation at this time.
  - The subject of the TORFP is not something we ordinarily provide.
  - We are inexperienced in the services required.
  - Specifications are unclear, too restrictive, etc. (Explain in REMARKS section.)
  - The scope of work is beyond our present capacity.
  - Doing business with the State of Maryland is too complicated. (Explain in REMARKS section.)
  - We cannot be competitive. (Explain in REMARKS section.)
  - Time allotted for completion of a Task Order Proposal is insufficient.
  - Start-up time is insufficient.
  - Bonding/Insurance requirements are too restrictive. (Explain in REMARKS section.)
  - TORFP requirements (other than specifications) are unreasonable or too risky. (Explain in REMARKS section.)
  - MBE requirements. (Explain in REMARKS section.)
  - Prior State of Maryland contract experience was unprofitable or otherwise unsatisfactory. (Explain in REMARKS section.)
  - Payment schedule too slow.
  - Other: \_\_\_\_\_.
2. If you have submitted a Task Order Proposal, but wish to offer suggestions or express concerns, please use the Remarks section below.

Remarks:

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TO Contractor

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

Contact Person: \_\_\_\_\_ Phone \_\_\_\_ - \_\_\_\_ - \_\_\_\_ Email \_\_\_\_\_

## SECTION 1 ADMINISTRATIVE INFORMATION

### 1.1 RESPONSIBILITY FOR TORFP AND TO AGREEMENT

The TO Procurement Officer has the primary responsibility for the management of the TORFP process, for the resolution of TO Agreement scope issues, and for authorizing any changes to the TO Agreement. See Section 2.9 for information on change orders.

The TO Manager has the primary responsibility for the management of the work performed under the TO Agreement; administration functions, including issuing written directions; ensuring compliance with the terms and conditions of the CATS TO Contract; and, in conjunction with the selected TO Contractor, achieving on budget/on time/on target (e.g., within scope) completion of the Scope of Work.

### 1.2 TO AGREEMENT

Based upon an evaluation of TO Proposal responses, a TO Contractor will be selected to conduct the work defined in Section 2 Scope of Work. A specific TO Agreement, Attachment 3, will then be entered into between the State and the selected TO Contractor, which will bind the selected TO Contractor (TO Contractor) to the contents of its TO Proposal, including the price proposal.

### 1.3 TO PROPOSAL SUBMISSIONS

The TO Procurement Officer will not accept submissions after the stated date and exact time. The time will be local time as determined by the DLLR email system time stamp. The TO Proposal is to be submitted via e-mail to [ptarpley@dllr.state.md.us](mailto:ptarpley@dllr.state.md.us) as two attachments in **MS Word protect for No Change (read only)** format. The “subject” line in the e-mail submission shall state the **TORFP # P00P6202921**.

- The first file will be the TO Proposal technical response to this CATS TORFP and titled, “**CATS TORFP # P00P6202921 - Technical**”
- The second file will be the financial response to this CATS TORFP and titled, “**CATS TORFP # P00P6202921 – Financial**.”
- **Note:** The proposal documents that must be submitted with a signature, Attachment 2 - MBE Forms D-1 and D-2, Attachment 3 – Task Order Agreement and Attachment 4 - Conflict of Interest and Disclosure Affidavit, must be submitted as **Adobe PDF** files with signatures clearly visible.

### 1.4 MINORITY BUSINESS ENTERPRISE (MBE)

A TO Contractor that responds to this TORFP shall complete, sign, and submit all required MBE documentation (Attachment 2 - Forms D-1 and D-2) at the time it submits its TO Proposal. **Failure of the TO Contractor to complete, sign, and submit all required MBE documentation at the time it submits its TO Proposal will result in the State’s rejection of the TO Contractor’s TO Proposal.**

### 1.5 eMARYLANDMARKETPLACE FEE

COMAR 21.02.03.06 requires that each TO Contractor that wins a TO Agreement under this TORFP pay a fee to support the operation of eMarylandMarketplace. The fee will be due on each TO Agreement that exceeds \$25,000. The applicable fee will be based on TO value, including any options. Contractors shall pay the fee as provided by COMAR 21.02.03.06 and in accordance with guidelines issued by the Maryland Department of General Services. A copy of COMAR 21.02.03.06 and the guidelines issued by the Maryland Department of General Services can be found on the eMarylandMarketplace website at [www.eMarylandMarketplace.com](http://www.eMarylandMarketplace.com).

The rate(s) or price(s) of the proposal/bid shall include the appropriate fee as per the COMAR 21.02.06.03 fee schedule. Fees may not be quoted as a separate add-on price. A total TO Agreement value that is other than an even dollar amount will be rounded to the nearest whole dollar to determine the appropriate fee level. For example, a total TO Agreement value of \$50,000.49 will be rounded to \$50,000 and a Level 1 fee will apply. A total TO Agreement value of \$50,000.50 will be rounded to \$50,001 and a Level 2 fee will apply.

## **1.6 CONFLICT OF INTEREST**

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

TO Contractors should be aware that the State Ethics Law, State Government Article, §15-508, might limit the selected TO Contractor's ability to participate in future related procurements, depending upon specific circumstances.

## **1.7 NON-DISCLOSURE AGREEMENT**

Certain system documentation may be available for potential Offerors to review at a reading room at the Department of Labor, Licensing and Regulation, 1100 N. Eutaw, Baltimore, MD 21201. Offerors who review such documentation will be required to sign a Non-Disclosure Agreement (Offeror) in the form of Attachment 10. Please contact the TO Procurement Officer of this TORFP to schedule an appointment.

In addition, certain documentation may be required by the TO Contractor awarded the TO Agreement in order to fulfill the requirements of the TO Agreement. The TO Contractor, employees and agents who review such documents will be required to sign a Non-Disclosure Agreement (TO Contractor) in the form of Attachment 11.

## **1.8 QUESTIONS AND INQUIRIES**

Questions and inquiries, both verbal and written, should be submitted in a timely manner to the TO Procurement Officer. In the case of questions not received in a timely manner, the TO Procurement Officer shall, based on the availability of time to research and communicate an answer, decide whether an answer can be given before the proposal due date. Answers to all substantive questions that have not previously been answered, will be distributed to all vendors who are known to have received the TORFP.

## **SECTION 2 SCOPE OF WORK**

### **2.1 PURPOSE, REQUESTING AGENCY BACKGROUND AND PROJECT BACKGROUND**

#### **2.1.1 PURPOSE**

A) The Department of Labor, Licensing & Regulation (DLLR) is issuing this CATS TORFP to invite prospective Task Order (TO) Contractors to submit a proposal providing Optical Character Recognition (OCR) and document management system integration services, migrating existing OCR images and document management functionality and upgrading the Oracle database.

B) The TO Contractor shall migrate the current imaging and document management system to a new or upgraded platform. The system is known as MIDAS (Managed Image and Data Access System) and is administered by the Contributions Division (Tax) within the DLLR, Division of Unemployment Insurance (DUI). The TORFP also requests database administration of its current MIDAS imaging system until the successful implementation of the new MIDAS system. In addition, the TORFP also requests proposals to integrate certain Visual Objects (VO) application programs into the new MIDAS system here after referred to as "MIDAS II".

C) Services are to include but not be limited to: Project Planning, providing of proposed hardware and software for a turn key system, setup and installation, software development and implementation to include all project management and team transition efforts, affirming design, development and test, integration and test, training, end-to-end performance testing, system implementation, documentation, warranty, and maintenance. Maintenance is to include capability for ongoing optimum maintenance of the system and activities as well as State approved enhancements. Towards the end of the contract, the TO Contractor shall also support end-of-contract transition efforts back to the State or State's agent.

#### **2.1.2 DLLR BACKGROUND**

The DUI is a division of DLLR. Its mission is to provide temporary benefits to eligible individuals who are out of work through no fault of their own, and to collect the unemployment insurance tax from employers for the payment of unemployment insurance benefits. The MIDAS imaging and document management system scans and performs OCR on the employer UI tax returns and archives and indexes DUI Tax employer correspondence.

#### **2.1.3 PROJECT BACKGROUND**

##### **A) System Background**

The DUI Tax has had a document management OCR system since October 1995. MIDAS is used to image and OCR the quarterly unemployment insurance contribution and employment reports (form OUI 15 / 16) for the 136,000 employers in the State of Maryland. MIDAS also scans and archives correspondence for DUI Tax. Since October 1995, over 18 million images have been scanned, indexed and stored by MIDAS. The DUI Tax has over 220 users networked to the MIDAS system. It is a mission critical system. Users of the system are primarily located on the fourth floor of 1100 North Eutaw Street. Please refer to Attachment



12 (Overview of MIDAS II) for to a planned overview of anticipated MIDAS II and Attachment 13 (MIDAS II Forms Processing) for a description of MIDAS II forms processing.

## B) Current System Architecture

The configuration and processes of MIDAS described below have been in production since January 2000. This description demonstrates the existing characteristics of the current imaging and OCR system.

- 1) Database - The system uses an Oracle database on a Sun Solaris Enterprise 3500 server. The database uses Oracle 8.i & UNIX. The database is accessed by locally developed client-server applications using industry standard ODBC connections. There are over 18 million records in the database MIDASDB, and nearly that many in the database TAXDB. A description of the various tables and their layouts will be available for review in the DLLR Reading Room.
- 2) Scan Stations: There are four (4) Kodak 5500 duplex scanners that scan documents into MIDAS. The scan stations use Windows 95 PCs that are connected to the servers on a fiber optic network connection. The scanning software is InputAccel, version 2.2.10.
- 3) Optical Storage: HP 660 EX Jukebox, with over 100 5.2 GB Platters in use.
- 4) Server TAXIA: Image Server (Hewlett Packard NetServer LH 4r). The server provides the ODBC Export application that writes to the Oracle tables. The server also manages InputAccel software functions.
- 5) Server TAXIPP: Image Pre-Processor (Hewlett Packard NetServer LH 4r).
- 6) Server TAXID: (Hewlett Packard NetServer LH 4r) - The server is used to provide form Identification and FormWare cleanup.
- 7) Server TAXFW: (Hewlett Packard NetServer LH 4r) On this server, the Batch Monitor VB program automatically routes batches of work to either FormWare OCR or the eiStream manual index processes.
- 8) Server TAXENH: (Hewlett Packard NetServer LH 4r) - The server provides the platform for FormWare Image Enhancement.
- 9) Server TAXOCR1: (Hewlett Packard NetServer LH 4r) - The server provides the platform for Image OCR.
- 10) Server TAXOTG1: (Hewlett Packard NetServer LH 4r) - The server provides image storage for 45 days until migrating to the HP optical storage device.
- 11) Server TAXOTG2: (Hewlett Packard NetServer LH 4r) - The server provides the platform for the OTG software that manages the migration of images to the Jukebox.
- 12) Server TAXEWF1: (Hewlett Packard NetServer LH 4r) - The server provides the platform for the SQL Database.
- 13) Server TAXEWF1: (Hewlett Packard NetServer LH 4r) - The server provides the platform for the eiStream workflow application software.

## C) Network Topology:

- 1) Novell - Users at the 1100 North Eutaw Street complex connect to a Novell server located on the 3rd floor. They also connect to Windows NT 4.0 servers located on the 4th floor and 1 Windows NT 4.0 server located on the 3rd floor. The network uses standard category-5 cable connected to hub clusters. The hub clusters are connected to a Synoptics switch in the 4<sup>th</sup> floor server room by either category-5 cable, or fiber optic cable. Distance or load determines the use fiber optic cable instead of standard category 5 cable. The vast majority of users or located on the 4<sup>th</sup> floor. There are

approximately 30 users on the 2<sup>nd</sup> floor, 25 users on the 1<sup>st</sup> floor and others scattered on the 5<sup>th</sup> and 3<sup>rd</sup> floors.

- 2) Citrix - A number of out-stationed DUI Tax personnel accessing the system through a Citrix connection that runs on NT 4.0 Terminal Services, or through the Internet on a VPN.
  - 3) Desktop Workstation – Dell Optiplex GX270 using Windows XP Professional operating system. Users currently log onto the network using Novell and Windows NT passwords via a unified login. The desktops are tightly monitored and controlled using Fortress software.
- D) Current System Functionality
- 1) Connectivity: The network is using Novell Client 4.90 on Dell Optiplex GX270 desktop PCs, with Intel Pentium 4 processors, 512 MB SDRAM using Windows XP Pro.
  - 2) Forms: DUI Tax uses an 8.5” X 11” double-sided form (DLLR/DUI 15/16 (Attachments 14 & 15) to collect tax and wage information from Maryland employers. The volume is approximately 200,000 images per quarter. The form uses red drop-out ink for constrained hand print. DUI Tax scans an 8.5” X 11” single-sided form (Attachment 16) to gather W-4 information from unemployment insurance claimants. The volume is approximately 1,000 images per week. The image size for form 15 = 43KB; Form 16 = 12KB.
  - 3) OCR: DUI Tax uses OCR technology to read numeric and alphabetic data on both forms referenced above in section 2.1.3.3.2. The data from the forms must be exported from the application into a database. From the database, data is sent to one of three separate mainframe systems; the employer tax file, the employee wage record file, or the claimant W4 file.
    - a) Employer Tax File – DUI Tax uses an outside vendor to print the 15/16 forms, using Red Drop-cut ink for the handprint constrain areas. Some fields are pre-printed with DUI Tax information. The contribution report is the front side (form 15) of the form. Employers complete the remaining fields with variable numeric data, which could be handwritten or machine-printed. On a daily basis, MIDAS sends OCR data extracted from the forms to the employer tax system file. The employer tax file contains name and address information for every employer in the State of Maryland subject to unemployment insurance taxes. In addition to OCR data, employers may also complete mark-sense boxes or constrained handprint boxes to indicate a change of address, or other entity changes. Changes of this nature trigger an entry of the form into a workflow path.
    - b) Employee Wage Record File – DUI Tax uses a vendor to print the 15/16 forms, using Red Drop-out ink for the handprint constrain areas. Most of the fields are pre-printed with DUI Tax information. The wage report is the obverse side (form 16) of the form. Employers complete the remaining fields with variable numeric and alphabetic data, both handwritten and machine printed. On a daily basis, MIDAS sends OCR data extracted from the forms to the employee wage record file.

- c) Claimant W4 file – DUI prints the W4 forms on their own laser printer. Most of the fields are pre-printed with DUI W4 information. Claimants are requested to indicate a withholding preference by darkening a circle. The claimant W4 extract data are sent to the Maryland Automated Benefit System (MABS) on a daily basis. The average image size for form W4 = 35KB.
- 4) Workflow: Workflow queues are currently established for three forms and three separate units. Form 15 address change requests, close account requests and federal number updates are routed to the Employer Status Unit. Form 16 operator override events are routed to the Central Processing Unit. FormW4 illogic responses are routed to the Central Processing Unit.
- 5) Form ID: The software reads form identification numbers to automatically determine the type of form to be processed. Unique form identifiers designate the software OCR template to be used to correctly obtain the data from the form.
- 6) Annotations: MIDAS provides users the ability to make annotations that are associated with an image. Subsequent users have the ability to view, print and fax the document with, or without, the associated annotations.
- 7) Hardware: MIDAS includes the following:
  - a) Database Server: DUI Tax uses a Sun Solaris Enterprise 3500 with a Unix operating system and an Oracle database. The databases are used for the MIDAS imaging document management system, and also for other DUI Tax applications. Actual statistics are available upon request. In very general terms, over 18 million records reside in the MIDAS image table and nearly as many in the TaxDB database.
  - b) Image Storage: DUI Tax currently uses an HP jukebox for optical storage. The jukebox uses four (4) drives and over 100 5.2GB” platters.
  - c) Application Servers – MIDAS as currently configured uses many servers. See section 2.1.3 B), Current System Architecture for a full description.
- 8) Visual Objects (VO) Applications: The DUI Tax network uses a variety of VO applications to manage their work. The VO applications are mission critical and provide automation for users to process and update information in a timely manner. The VO applications are an efficient front end for the legacy systems on the Annapolis Data Center (ADC). Examples include programs for: new accounts, address changes, time sheets, leave accounting, legal collections, delinquency enforcement tools, cashiering and batch control, COLD forms, employer entity information, Fastrac, employer audits and delinquency resolution. The agency plan for these applications is to re-engineer them to a VB.net platform, adding a web browser interface.
- 9) Disaster Recovery Plan: DUI Tax currently stores a full tape backup of the Oracle database at an off-site location.

## **2.2 TECHNICAL REQUIREMENTS**

- A) The Master Contractor shall provide technical and business services that support and ensure the reliability and functionality of the technical architecture, applications and

their business processes.

- B) The Master Contractor shall meet the following technical requirements:
- 1) Maintenance support and database administration of current MIDAS.
  - 2) Migrate currently stored images to MIDAS II
  - 3) Upgrade MIDAS platform, hardware and software.
  - 4) Integrate VO applications into MIDAS II.
  - 5) Establish cost effective system redundancy.
  - 6) Implement approved system enhancements.
  - 7) Provide ongoing maintenance support and database administration for MIDAS II.
  - 8) Support post-contract transition to DLLR staff or new contractor.
  - 9) Cooperate with State audit processes including IV and V's (Independent Verification and Validation).
  - 10) Meet further requirements below.
- C) The Master Contractor must address all criterion/requirement in the technical proposal and describe how the proposed services will meet the requirements as described in the TRFP to include the following.
- D) The Master Contractor shall provide a strategy to integrate the existing images into the new MIDAS system.
- E) The Master Contractor shall provide a plan for an efficient and cost effective solution for system redundancy
- F) The Master Contractor shall propose a complete solution to address the services and hardware listed below and detail their service offerings for each component of the MIDAS Upgrade solution.
- 1) Hardware solution
  - 2) Software solution
  - 3) System integration
  - 4) Database management
- 1) System maintenance
- G) The Master Contractor shall provide a description of the methodology to integrate the database with the application software. The description must include the interface with the imaging application software as well as the network Visual Objects applications.
- H) The Master Contractor shall provide a description of the methodology for the rapid response (retrieval) time for image viewing and OCR reject and repair.
- I) The Master Contractor shall clearly describe the extent to which existing functions in the VO application suite will be replaced by their MIDAS solution.
- J) The Master Contractor shall also include any illustrative material that the TO Contractor deems necessary to describe the work plan with documented policies, plans and procedures.

- K) The Master Contractor must provide a document management system with OCR functionality. The system must integrate an existing image database and image file exceeding 18 million images, with an expected annual growth rate of 2 million images. At a minimum, the system must provide: image capture in a non-proprietary format, image retrieval at the desktop level within 10 seconds, data recognition on a dual-sided form using OCR / ICR technology, the ability to export the data to an ASCII file for transfer to two mainframe systems, automatic workflow triggered by form mark-sense areas, in-bound and out-bound fax capability and image import of Excel and Word documents.
- L) The Master Contractor shall provide this system compatible with a network using Novell Client 4.90 on Dell Optiplex GX270 desktop PCs, with Intel Pentium 4 processors, 512 MB SDRAM using Windows XP Pro.
- M) The Master Contractors shall be ready to provide a system that will OCR the existing DUI Tax forms. DUI Tax has changed the form in the past to accommodate new systems. Employers and tax practitioners become very confused when DUI Tax issues new forms. DUI Tax still receives old forms and is not interested in creating yet another new form.
- N) The Master Contractor shall provide the ability to connect to the mainframe using industry standard ODBC connections through middleware (Neon Shadow) installed on the mainframe to transmit employer tax file, employer wage file and claimant W4 data.
- O) The Master Contractor shall provide part-time database administration support. The assigned Master Contractor staff must have significant experience in Oracle on a Unix platform to support the current MIDAS imaging system until the successful implementation of the MIDAS II. At a minimum, database administration will include performing weekly back-ups of the entire database for off-site safekeeping, as well as periodic monitoring and performance optimization.

Minimum qualifying experience will include:

- 1) Three or more years of experience designing and administering large Oracle databases in a Unix environment.
- 2) Knowledge of Input Accel, eiStream, FormWare, and OTG.
- 3) Business knowledge of UI systems.
- 4) PROJECT APPROACH

The Master Contractor must provide a detailed discussion of capabilities and approach to address all criterion/ requirement in the technical proposal, and describe how the proposed services will meet the requirements as described in this TORFP.

## **2.2.1 SUBMISSION OF DELIVERABLES AND DELIVERABLE DESCRIPTIONS**

- A) For each written deliverable, draft and final, the TO Contractor shall submit to the TO Manager one hard copy and one electronic copy compatible with Microsoft Office 2000, Microsoft Project 2000 and/or Visio 2000.

- B) Drafts of all final deliverables are required at least two weeks in advance of when all final deliverables are due. Written deliverables defined as draft documents must demonstrate due diligence in meeting the scope and requirements of the associated final written deliverable. A draft written deliverable may contain limited structural errors such as poor grammar, misspellings or incorrect punctuation, but must:
- 1) Be presented in a format appropriate for the subject matter and depth of discussion.
  - 2) Be organized in a manner that presents a logical flow of the deliverable's content.
  - 3) Represent factual information reasonably expected to have been known at the time of submittal.
  - 4) Present information that is relevant to the section of the deliverable being discussed.
  - 5) Represent a significant level of completeness towards the associated final written deliverable that supports a concise final deliverable acceptance process.
- C) Upon completion of a deliverable, the TO Contractor shall document each deliverable in final form to the TO Manager for acceptance. The TO Contractor shall memorialize such delivery in an Agency Receipt of Deliverable Form (Attachment 8). The TO Manager shall countersign the Agency Receipt of Deliverable Form indicating receipt of the contents described therein.
- D) Upon receipt of a final deliverable, the TO Manager shall commence a review of the deliverable as required to validate the completeness and quality in meeting requirements. Upon completion of validation, the TO Manager shall issue to the TO Contractor notice of acceptance or rejection of the deliverables in an Agency Acceptance of Deliverable Form (Attachment 9). In the event of rejection, the TO Contractor shall correct the identified deficiencies or non-conformities. Subsequent project tasks may not continue until deficiencies with a deliverable are rectified and accepted by the TO Manager or the TO Manager has specifically issued, in writing, a waiver for conditional continuance of project tasks. Once the State's issues have been addressed and resolutions are accepted by the TO Manager, the TO Contractor will incorporate the resolutions into the deliverable and resubmit the deliverable for acceptance. Accepted deliverables shall be invoiced within 30 days in the applicable invoice format (Reference 2.6 Invoicing).
- E) When presented for acceptance, a written deliverable defined as a final document must satisfy the scope and requirements of this TORFP for that deliverable. Final written deliverables shall not contain structural errors such as poor grammar, misspellings or incorrect punctuation, and must:
- 1) Be presented in a format appropriate for the subject matter and depth of discussion.
  - 2) Be organized in a manner that presents a logical flow of the deliverable's content.
  - 3) Represent factual information reasonably expected to have been known at the time of submittal.
  - 4) Present information that is relevant to the section of the deliverable being discussed.
- F) The State required deliverables are defined below. Within each task, the TO Contractor may suggest other subtasks or deliverables to improve the quality and success of the project.

- 2.2.2.1 Attend Project Kick-Off Meeting.** The TO Contractor attends a project Kick-Off Meeting with DLLR Management and User Staff to understand and communicate the project tasks, timeline and requirements. There will be a current system demonstration where the TO Contractor obtains an understanding of the current system’s functionality and capabilities.
- 2.2.2.1.1 Project Management Plan.** The TO Contractor shall provide a Project Management Plan to include the baseline schedule , milestones, deliverables, description of important project requirements, resources, a Gantt Chart, Staffing Management Plan, Communication & Management Plan, and Risk Management Plan. The TO Contractor shall adhere to the State’s System Development Life Cycle (SDLC) methodology at: [www.dbm.maryland.gov](http://www.dbm.maryland.gov). The plan shall reflect the deliverables and expected completion date described in section 2.2.2 “Deliverables and Time Performance” of this TORFP.
- 2.2.2.2 Provide Current MIDAS System Support:**
- 2.2.2.2.1 Database Administration Support.** The TO Contractor shall provide part-time on-site support consisting of routine tasks, such as full weekly backups to tape, and incremental daily backups to the server. The backups are an important component of the MIDAS disaster recovery plan and, must be periodically verified for actual recovery. The TO Contractor shall provide a written weekly assessment of the database, and provide DLLR with recommendations for improvement in the database performance. In addition, the TO Contractor shall make changes as required by DLLR to the database for new functions that may require a new / modified table, or a new/modified instance
- 2.2.2.3 Provide Transition and Setup Documentation Plans.** The TO Contractor will provide DUI Tax with the documentation for the following plans and analysis. In addition, the TO Contractor shall include with their proposal plans for each of the following of previously successful projects tied to a reference. During this phase the TO Contractor shall consult with the TO Manager in all transition and set-up planning.
- 2.2.2.3.1 Transition and Setup Plan.** The TO Contractor shall analyze the current MIDAS imaging and document management system and provide the results of the analysis to the State as a deliverable. The analysis shall include recommendations for both system hardware and software upgrades. The analysis will include an evaluation of the current system’s methodology for database architecture, scanning, OCR techniques, optical migration schemes, document archiving strategy and document purge criteria.
- 2.2.2.3.2 Quality Assurance for Business Process Plan –** The TO Contractor shall provide a formal plan that ensures that delivered products and services satisfy contractual agreements and meet or exceed quality.
- 2.2.2.3.3 Security Plan.** The TO Contractor must provide a plan describing the methodology used to ensure the new system will be secure from both inside and outside threats.
- 2.2.2.3.4 Database Migration Plan.** The TO Contractor must provide a plan describing the strategy to migrate the existing Oracle database to either an upgrade of Oracle or to a new database platform. The plan must describe the justification for moving to a new platform, if so recommended. The plan must describe the timeline for the migration, describing in detail how the migration will occur, when it will commence and when the migration will be completed.

- 2.2.2.3.5 Image Storage Plan.** The TO Contractor must describe and justify the image storage(s) device that will be used for the new system. The plan shall include the analysis used to make this decision.
- 2.2.2.3.6 Training Plan.** The TO Contractor must provide a plan that describes the training that will be provided to DUI Tax. The training plan shall include an overview of the training for both system administrators and system users.
- 2.2.2.3.7 Disaster Recovery Plan.** The TO Contractor must provide a detailed description of the disaster recovery system that will provide DUI Tax with assurance for system recovery in the event of a disaster.
- 2.2.2.3.8 Integration and Migration Plan.** The TO Contractor must provide a plan that describes in detail the procedures for integrating existing software and systems with the new system. The plan shall also describe which existing software and images will be transferred to the new system, and how that transfer will occur.

**2.2.2.3.9 User Acceptance Testing (UAT) Plan**

- A) The TO Contractor must provide a detailed UAT plan that incorporates the following MIDAS II business requirements to ensure successful testing without error of existing system applications, validate system set-up for transactions and user access, verify performance, confirm integrity, verify that all of the requirements of the CATS have been met, verify acceptable speed and error rates, and determine subjective level of satisfaction. The TO Manager shall provide the TO Contractor with current test data for the UAT. The TO Contractor shall provide the TO Manager a report that verifies that the following have been achieved.
- 1) The TO Contractor shall arrange for user testers to be properly trained as required.
  - 2) All testing shall be carried out using the applications.
  - 3) The UAT plan shall be so structured as to not waste the user's time.
  - 4) The UAT plan shall have a mechanism in place to communicate any issues and outcomes. The TO Manager will be advised of any issues that need resolution. All testing shall be well documented by the TO Contractor.
  - 5) The TO Manager shall provide real life data for testing purposes.
  - 6) The document retrieval software must allow for the desktop retrieval of existing documents in at least 10 seconds.
  - 7) The documents can be retrieved from the pre-implementation system.
  - 8) The new system recognizes the existing three (3) forms (contribution report, employment report and W4 form).
  - 9) The OCR functionality works with the DLLR/OUI form 15/16 and form W4.
  - 10) The data capture and export functionality performs for tax employer data, tax wage record data and claimant W4 data.
  - 11) The new system scans a batch of test data, properly recognizes the form types, launches the appropriate OCR data perfection template, stages the unreadable document(s) with a data perfection operator, processes the perfected data to



completion, performs data export in an acceptable format and finally allows for document retrieval from either employer UI number or batch retrieval.

- 12) The existing UI Tax network applications are tested and perform acceptably with the new system.
  - 13) Inbound fax images can be displayed and indexed in the document management system.
  - 14) Outbound faxes of image documents can be issued for any document in the new system.
  - 15) The final part of the UAT shall include a parallel run to prove the MIDAS II system against the current system.
  - 16) The following Error Severity Level ranges will be used to catalogue problems with the system found during testing. At the conclusion of the UAT all problems will be resolved.
    - a) Show Stopper (Testing will stop).
    - b) Critical Problem (The TO Manger will determine if Testing can continue, .ut problem must be resolved prior to production).
    - c) Minor Problem (The TO Manager will determine if Testing can continue but problem must be resolved prior to production).
  - 17) The TO Contractor will acknowledge in writing to the TO Manager confirming the successful completion of the UAT.
- B) The TO Contractor will notify the TO Manager of all error conditions and their resolution.

**2.2.2.4 Provide proposed Hardware and Software for a Turn key System.** The TO Contractor shall provide hardware and software for the MIDAS II. The turnkey system shall include all the proposed hardware and software necessary for the MIDAS II. Hardware shall include the database server, servers for document management and OCR functions and the image storage device(s). All equipment provided by the TO Contractor must be new and unused. Used, refurbished or remanufactured equipment will not be accepted. Please also see Section 2.2.5 of the Master RFP.

**2.2.2.4.1 Inventory of Hardware and Software Report.** The TO Contractor shall provide the TO Manager with an inventory report of all the provided proposed hardware and software necessary for the MIDAS II. Written acknowledgement of the delivery of the proposed hardware and software by the TO Manager will trigger the deliverable as referenced in sections 2.2.2 and 2.2.3 of this TO.

**2.2.2.5 Perform Pre-Implementation Software Integration and Testing**

**2.2.2.5.1 Install and Test All Hardware.** Install and test Database hardware, OCR hardware and document management hardware. The TO Contractor shall provide written confirmation of the installation and testing of the hardware to the TO Manager for acknowledgement. Approval by the TO Manager will trigger the deliverable as referenced in sections 2.2.2 and 2.2.3 of this TO.

**2.2.2.5.2 Install and Test All Software.** Install and test Database software, OCR software and document management software. The TO Contractor shall provide written confirmation of

the installation and testing of the software to the TO Manager for acknowledgement. Approval by the TO Manager will trigger the deliverable as referenced in sections 2.2.2 and 2.2.3 of this TO.

- 2.2.2.5.3 Perform Production Test of All Hardware and Software.** The TO Contractor shall provide the TO Manager a report that states all hardware and software are installed and functioning as an integrated system.
- 2.2.2.5.4 Perform Pre-Implementation Verification and Validation Testing.** Perform pre-implementation performance period to test with existing system applications, validate system set-up for transactions and user access, verify performance, confirm integrity, verify all of the requirements of the CATS have been met, verify acceptable speed and error rates, and determine subjective level of satisfaction. The TO Contractor shall provide the TO Manager with a report that verifies that all steps in the UAT plan as detailed in section 2.2.2.3.9 have been successfully achieved without error.
- 2.2.2.6 Provide System Documentation.** The TO Contractor must provide documentation for system software, system architecture, network / system environment and security architecture and detailed manuals of all software modifications beyond the COTS. System documentation deliverables shall include a manual for the System Administrator and a manual for system users. The manuals must be in a format that allows DLLR to modify and enhance for future system developments. The manuals must be in a format that the Project administrator agrees to, such as Microsoft Word or Adobe Acrobat. The TO Contractor shall provide written confirmation of the system and user documentation to the TO Manager for acknowledgement. Approval by the TO Manager will trigger the deliverable as referenced in sections 2.2.2 and 2.2.3 of this TO.
  - 2.2.2.6.1 System Administrator Manual.** System documentation shall include a manual for the System Administrator.
  - 2.2.2.6.2 System User Manual.** System documentation shall include a manual for the System Users.
- 2.2.2.7 Initiate/Complete Implementation.** The TO Contractor must update all plans for any changes occurring prior to the implementation date. The implementation date must be begin on the first day of the quarter following the system acceptance date. After the successful completion and acknowledgement of the Pre-Implementation performance period referenced in 2.2.2.5.4 above, the TO Contractor shall provide a written reaffirmation to the TO Manager of their intent to implement the system in production, specifying the start date and the applicable year and quarter. Approval by the TO Manager will trigger the deliverable as referenced in sections 2.2.2 and 2.2.3 of this TO.

The TO Contractor must update all plans for any changes occurring prior to the implementation date. The implementation date must be begin on the first day of the quarter following the system acceptance date.

- 2.2.2.8 Provide System Service/Maintenance Support**
  - 2.2.2.8.1 Provide System Service/Maintenance Agreement Plan.** The TO Contractor shall develop and provide a Service Maintenance Agreement Plan incorporating all elements in section 2.2.3 “Service Level Agreements” of this TORFP.
    - A) The TO Contractor shall provide system service maintenance support for the purchased equipment and software upgrades for the life of the TO Contract for all parts and labor from the date of acceptance by the State.

- B) The TO Contractor must license all software and system modifications in the name of DUI Tax. The address for all licensing matters shall be DUI Tax in room 414 at 1100 North Eutaw Street in Baltimore, Maryland 21201. During the life of the system support agreement, the TO Contractor will be responsible for applying all available software upgrades and improvements. This includes software releases to which licensed users are entitled. Incumbent upon the TO Contractor is the maintenance of licensing and software support. It is the TO Contractor’s responsibility to ensure that DUI Tax is covered by any and all applicable licensing support agreements
- C) The TO Contractor shall provide a qualified service technician at the purchased equipment site within four (4) hours of the placing of the service call.
- D) The TO Contractor shall provide full restored functionality within twenty-four hours of the purchased equipment to be serviced.
- E) The TO Contractor shall track each service call from initial call to completion and be prepared to report on progress of work and provide solution oriented escalation procedures to the TO Manager.
- F) The TO Contractor shall include all charges for parts, materials, labor and travel as part of this procurement.
- G) The TO Contractor shall protect the confidentially of sensitive data by having all personnel committed to this TO sign Attachment 17, DLLR Resources Data Sharing Agreement.
- H) The State does not require a dedicated on-site presence for the life of the contract.

**2.2.2.9 Provide Training:**

DLLR will provide a training room with PCs and necessary equipment for training purposes. The TO Contractor will be responsible for ensuring that the PCs will run the new applications

**2.2.2.9.1 Provide System User and System Administrator Training.** The TO Contractor shall provide user training for twenty (20) system users and system administrator training for five (5) system users located at 1100 N. Eutaw, Baltimore, Maryland.

**2.2.2.9.2 Provide Certificates of Completion.** The TO Contractor shall issue certificates of completion for each the system users and administrators successfully completing the training. At the conclusion of the training system users and system administrator personnel will be capable of independently performing all system transactions specified in the system user and system administrator manuals.

**2.2.2 DELIVERABLES AND TIME PERFORMANCE**

This section provides a description of the Deliverables and Expected Completion by identifying the number of calendars days estimated for the TO Contractor to complete the deliverable after receiving the Notice to Proceed (NTP).

<b>ID</b>	<b>Deliverables for 2.2.2</b>	<b>Expected Completion:</b>
2.2.2.1	Attend Project Kick-Off Meeting &	NTP + 15 Calendar Days
2.2.2.1.1	Provide Project Management Plan	

2.2.2.2	Provide Current MIDAS System Support until MIDAS II Implementation	NTP + 300 Calendar Days
2.2.2.2.1	Provide Current Database Administration Support until MIDAS II Implementation	
2.2.2.3	Provide Transition and Set-Up Documentation Plans:	NTP + 30 Calendar Days
2.2.2.3.1	Transition and Setup Plan	
2.2.2.3.2	Quality Assurance for Business Process Plan	
2.2.2.3.3	Security Plan	
2.2.2.3.4	Database Migration Plan	
2.2.2.3.5	Image Storage Plan	
2.2.2.3.6	Training Plan	
2.2.2.3.7	Disaster Recovery Plan	
2.2.2.3.8	Integration and Migration Plan	
2.2.2.3.9	User Acceptance Testing (UAT) Plan	
2.2.2.4	Provide proposed Hardware and Software for a Turn key System	NTP + 45 Calendar Days
2.2.2.4.1	Inventory of Hardware and Software Report	
2.2.2.5	Perform Pre-Implementation Performance Software Integration and	NTP + 120 to 270 Calendar Days
2.2.2.5.1	Install and Test All Hardware	
2.2.2.5.2	Install and Test All Software	
2.2.2.5.3	Perform Production Test of All Hardware and Software	
2.2.2.5.4	Perform Pre-Implementation Verification and Validation Testing	
2.2.2.6	Provide System Documentation	NTP + 180 Days
2.2.2.6.1	System Administrator Manual	
2.2.2.6.2	System User Manual	
2.2.2.7	Initiate/Complete MIDAS II System Implementation	NTP + 300 Calendar Days
2.2.2.8	Provide MIDAS II System Service/Maintenance Support	NTP + 301 Calendar Days + Two Years
2.2.2.8.1	Provide MIDAS II System Service/Maintenance Agreement Plan	
2.2.2.9	Provide Training	NTP + 300 Calendar Days
2.2.2.9.1	Provide System User and System Administrator Training	
2.2.2.9.2	Provide Certificates of Completion	

### **2.2.3 SERVICE LEVEL AGREEMENTS**

A) The TO Contractor staff assigned to the Task Order shall work on-site at DLLR, unless otherwise approved by DLLR's TO Manager, and shall adhere to DLLR's policies

regarding the use of telephone, internet, computer equipment and DLLR's standards for dress and business behavior.

- B) The TO Contractor shall provide guaranteed service availability of 99.5% or greater of a qualified service technician at the purchased equipment site within four (4) hours of the placing of the service call.
- C) The TO Contractor shall provide full restored functionality within twenty-four hours of the purchased equipment to be serviced
- D) The TO Contractor's personnel shall provide weekly, monthly and upon request reports on the status of all active assignments to include work accomplished.
- E) The TO Manager shall be notified 48 hours in advance of scheduled maintenance activities that may impact site/system availability. All maintenance must have prior approval of the TO Manager.
- F) OIT's internal policies governing change management, documentation, maintenance, privacy and security, testing, training, disaster recovery, and data management will apply to all work under this Task Order. TO Contractor staff assigned to the TO shall adhere to these policies as directed by DLLR OIT Management.
- G) Normal work hours shall be between 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding State Holidays.
- H) All personnel described in the TO Contractor's proposal shall perform continuously for the duration of the TO, and for so long as performance is satisfactory to the TO Manager. The TO Manager shall give written notice of TO Contractor performance issues to the TO Contractor, clearly describing the problem and delineating remediation requirement(s). The TO Contractor shall respond with a written remediation plan within three (3) business days and implement immediately upon written acceptance of the TO Manager. Should performance issues persist, the TO Manager may give written notice or request the immediate removal of person(s) whose performance is at issue, and determine whether a substitution is required. The TO Contractor may not substitute personnel, other than by reason of an individual's death, sudden illness or termination of employment, without the prior written approval of the TO Manager. To replace any personnel specified in the task order proposal, the TO Contractor shall submit the resumes of the proposed substitute personnel to the TO Manager for approval at least two weeks prior to the effective date of substitution. All proposed substitute personnel shall have qualifications at least equal to those of the replaced personnel, and must be approved by the TO Manager that the proposed substitutes meet the minimum qualifications specified in the Master Contract.
- I) There will be no payment for labor hours for travel time or reimbursement for any travel expenses for work performed on this TO.
- J) The TO Contractor shall provide system service maintenance support for the purchased equipment and software upgrades for the life of the TO Contract for all parts and labor from the date of acceptance by the State.
- K) The TO Contractor must license all software and system modifications in the name of DUI Tax. The address for all licensing matters shall be DUI Tax in room 414 at 1100 North Eutaw Street in Baltimore, Maryland 21201. During the life of the system support agreement, the TO Contractor will be responsible for applying all available software upgrades and improvements. This includes software releases to which licensed users are

entitled. Incumbent upon the TO Contractor is the maintenance of licensing and software support. It is the TO Contractor's responsibility to ensure that DUI Tax is covered by any and all applicable licensing support agreements.

- L) The TO Contractor shall track each service call from initial call to completion and be prepared to report on progress of work and provide solution oriented escalation procedures to the TO Manager.
- M) The TO Contractor shall include all charges for parts, materials, labor and travel as part of this procurement.
- N) The TO Contractor shall protect the confidentially of sensitive data by having all personnel committed to this TO sign Attachment 17, DLLR Resources Data Sharing Agreement.
- O) The State does not require a dedicated on-site presence for the life of the contract.

#### **2.2.4 HARDWARE AND SOFTWARE WARRANTIES**

- A) All hardware purchased under this agreement will have a minimum three year on-site warranty for all parts and labor. It is the TO Contractor's responsibility to procure and enforce extended warranty contracts for the three year term. The cost of the extended warranties shall be borne by the TO Contractor and shall be part of the TO Contractor's price proposal.
- B) The TO Contractor that is selected shall be the Single Point of Contact (SPOC) for problem resolution for the MIDAS system. Problems to be resolved by the Contractor include hardware failure, software failure, database failure, software upgrades and integration issues.
- C) On site warranty means the TO Contractor's qualified technician will travel, if necessary, to the State facility where warranty service is required.
- D) Normal service hours will be between 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding State Holidays. Normal service shall be performed before the end of the next business day from receipt of notice by the agency requesting service

#### **2.2.5 REQUIRED PROJECT POLICIES, GUIDELINES AND METHODOLOGIES**

The TO Contractor shall be required to comply with all applicable laws, regulations, policies, standards and guidelines affecting information technology projects, which may be created or changed periodically. The TO Contractor shall adhere to and remain abreast of current, new, and revised laws, regulations, policies, standards and guidelines affecting project execution. These may include, but are not limited to:

- A) The State's System Development Life Cycle (SDLC) methodology at: [www.dbm.maryland.gov](http://www.dbm.maryland.gov) - keyword: SDLC.
- B) The State Information Technology Security Policy and Standards at: [www.dbm.maryland.gov](http://www.dbm.maryland.gov) - keyword: Security Policy.
- C) The State Information Technology Project Oversight at: [www.dbm.maryland.gov](http://www.dbm.maryland.gov) - keyword: IT Project Oversight.
- D) The State of Maryland Enterprise Architecture (MTAF) at [www.dbm.maryland.gov](http://www.dbm.maryland.gov) - keyword: MTAF Guiding Principles.

- E) The TO Contractor shall follow the project management methodologies that are consistent with the Project Management Institute's Project Management Body of Knowledge Guide. TO Contractor's staff and subcontractors are to follow a consistent methodology for all TO activities.

### **2.3**

#### **TO CONTRACTOR STAFF EXPERTISE REQUIRED**

The TO Contractor's staff must demonstrate expertise in the following:

- A) **General Skill Sets and Knowledge:** The TO Contractor' staff shall provide dedicated technical and business personnel to perform, technical and business support to include project management, functional analyses, software programming, enhancements/modifications, analytical services, and testing services as directed. To understand DLLR requirements, the TO Contractor shall acquire an understanding of DLLR's MIDAS System to enable their technical and business staff to comprehensively support the system.
- B) **Specific Skill Sets and Knowledge:** Qualifying experience, at a minimum, shall include three or more years of experience in document management OCR systems integration and database administration; and expert knowledge in each of the following:
  - 1) **Database administration & System Integration.** The TO Contractor shall demonstrate expertise integrating and providing document management and imaging services for a large installation. The prior experience must include installing a system in excess of 1,000,000 images and 1,000,000 database table entries.
  - 2) **Visual Basic**
  - 3) **Oracle - For either conversion or administration**
  - 4) **Unix For either conversion or administration**

### **2.4**

#### **TO CONTRACTOR STAFF MINIMUM QUALIFICATIONS**

The following minimum qualifications are mandatory. The TO Contractor's staff shall be capable of furnishing all necessary services required to successfully complete all tasks and work requirements and produce high quality deliverables described herein. The TO Contractor shall demonstrate, in its proposal, that it possesses such expertise in-house or has fostered strategic alliances with other firms for providing such services.

- A) **Total Experience.** The number of minimum years of hands-on experience in the skill set and in general with Information Technology.
- B) **Specialized Experience.** Minimum specific experience required directly relates to the particular skill category and level. The experience is not in addition to but is a part of the general experience required in the paragraph above.
- C) **Skill Set Experience.** Recent hands-on experience within the last two (2) years of the particular knowledge base and skill set.
- D) **Education and Other Requirements.** Minimum educational requirements needed to qualify for the position. The DLLR Task Order Manager may approve substitutions of

experience and/or certifications for education if the DLLR Task Order Manager determines the experience is superior in nature and provides the skills at a level necessary to successfully perform the duties of the position.

- E) Duties. Immediately following experience and education requirements are the representative functions of the position.
- F) Communication. The TO Contractor's proposed staff must possess effective oral and written communication skills to effectively communicate with State staff.

## **2.4.1 LABOR CATEGORIES**

### **2.4.1.1 Management Series**

#### **2.4.1.1.1 Project Manager**

- A) Total Experience. Eight (8) years of experience in initiating, planning, organizing, directing, and controlling business application projects. Progressive experience in large-scale management information or business application systems support activities with particular regard to experience in integrating and providing document management and imaging services for a large installation. The prior experience must include a system in excess of 4,000,000 images and database table entries. Also as part of that progressive experience, it is required that the Project Manager have knowledge and abilities such as system design and analysis, system operations, computer operations, and all activities related to maintenance and software life cycle activities.
- B) Specialized Experience. Three (3) years of specific experience in managing projects, according to the Project Management Institute (PMI) practices and procedures. This responsibility includes, but is not limited to, developing project plans, budgeting, estimating, and scheduling, developing risk management plans, and all other plans associated with project plan development and execution.
- C) Education and other requirements. A Bachelor's degree from an accredited college or university with a major in Computer Science, Information Systems, Engineering, Accounting or other related business or technical discipline. PMI Certification is highly desired.
- D) Duties. Develop complete project plans as required for Business Application projects. Plan, organize, direct, and control Business Application projects. Review project documentation developed by others. Meet with State personnel and TO Contractor personnel to review and approve project documentation. Communicates effectively with all levels of management. He or she provides configuration management during the development phase of the project and ensures the project is completed correctly, efficiently, on schedule and within cost.

### **2.4.1.2 Systems Analyst Series**

#### **2.4.1.2.1 Systems Analyst**

- A) Total Experience. Three (3) years progressive experience in the analysis and design of business applications using database management systems or high level programming



languages.

- B) Education and other requirements. A Bachelor's degree from an accredited college or university in a related field.
- C) ~~Duties~~ Perform duties assigned by the Senior Systems Analyst on simple to moderately complex systems.

### **2.4.1.3 Computer Programmer Series**

#### **2.4.1.3.1 Applications Programmer**

- A) Education. A Bachelor's Degree from an accredited college or university with a major in Computer Science, Information Systems, Engineering, Business, or other related scientific or technical discipline or three (3) years of equivalent experience in a related field. A TO Contractor's Degree is preferred. A TO Contractor's Degree in one of the above disciplines equals one year specialized and two years general experience.
- B) General Experience. Must have five (5) years of computer experience in information systems design.
- C) Specialized Experience. At least three (3) years of experience as an application programmer on large-scale Database Management Software, knowledge of computer equipment, and ability to develop complex software to satisfy design objectives.
- D) Duties. Analyzes functional business applications and design specifications for functional areas such as finance, accounting, and procurement. He or she translates detailed design into computer software. Tests, debugs, and refines the computer software to produce the required product. Prepares required documentation, including both program-level and user-level documentation. Enhances software to reduce operating time or improve efficiency. Provides technical direction to programmers as required to ensure program deadlines are met. Must be able to verify the accuracy and completeness of programs and systems by preparing sample representative data and perform testing by means of cycle and system processing.

#### **2.4.1.3.2 Junior Applications Programmer**

- A) Education. A Bachelor's Degree from an accredited college or university with a major in Computer Science, Information Systems, Engineering, Business, or other related scientific or technical discipline or three (3) years of equivalent experience in a related field. A TO Contractor's Degree in one of the above disciplines equals one year specialized and two years general experience.
- B) General Experience. Must have three (3) years of computer programming experience.
- C) Specialized Experience. None.
- D) Duties. Analyzes functional business applications and design specifications for functional areas such as finance, accounting, and procurement. Translates detailed design concepts into computer software. Tests, debugs, and refines the computer software to produce the required product. Prepares required documentation, including both program-level and user-level documentation. Enhances software to reduce operating time or improve efficiency. Provides technical direction to programmers as required to ensure program deadlines are met. Must be able to verify the accuracy and

completeness of programs and systems by preparing sample representative data and perform testing by means of cycle and system processing.

#### **2.4.1.4 Specialist Series**

The following general requirements apply to all personnel in the Specialist Series.

- A) Total Experience. Five (5) years progressive experience in Information Systems/Automated Data Processing (IS/ADP) systems analysis.
- B) Specialized Experience. Three (3) years of intensive and progressive experience in the specialty.
- C) Education and Other Requirements. A Bachelor's degree from an accredited college or university with a major in Computer Science, Information Systems, Engineering, Business, or other related scientific or technical discipline.
- D) Duties. Augments other skill categories by providing unique IS/ADP systems knowledge in areas that require in-depth current knowledge of a specialized IS discipline. Such specialized knowledge can only be achieved through intensive, extensive, and continuous application of the specialty at a level exceeding that of the more general and broad based IS requirements of the skill category series. This series may participate in all phases of performance with emphasis on the planning, analysis, testing, documentation, and acceptance phases. Prepares and delivers presentations and briefings as required.

#### **2.4.1.4.1 Database Management Specialist** – In addition to the general requirements for the specialist series:

- A) Specialized experience. Must have thorough knowledge and understanding of IBM UDB, Access, SQL, DB2 and/or Oracle database management software. DLLR requires DB2 and Oracle database management support.
- B) Duties. Supports application developers in planning preparation, load analysis, and backup and recovery of data. When necessary, reallocates resources to maximize benefits. Monitors system performance and evaluates areas to improve efficiency. Specifies proper types of files organization, indexing methods, and security procedures. Advises TO Contractor project teams on the design of complex databases (e.g., schema and subschema details). Defines specialized aspects of user's data base administrator documentation. Performs detailed comparisons of various data base systems. Performs duties in a complex, distributed, heterogeneous computing environment, which may involve different types of hardware platforms, operating systems applications, and network environments

## **2.5 INVOICING**

- A) Payment will only be made upon completion and acceptance of the deliverables as defined in sections 2.2.2 and 2.2.3.
- B) Invoice payments to the TO Contractor shall be governed by the terms and conditions defined in the CATS TO Contract. Invoices for payment shall contain the TO Contractor's Federal Tax Identification Number, as well as the information described

below, and must be submitted to the TO Manager for payment approval. Payment of invoices will be withheld if a signed Acceptance of Deliverable form – Attachment 9, is not submitted.

- C) The TO Contractor shall submit invoices for payment upon acceptance of separately priced deliverables, on or before the 15<sup>th</sup> day of the month following receipt of the approved notice(s) of acceptance from the TO Manager. A copy of the notice(s) of acceptance shall accompany all invoices submitted for payment.
- D) All invoices shall be submitted monthly no later than 15 calendar days after the end of the invoice period, unless specified differently in the Task Order, and include the following information: name and address of the State agency being billed, vendor name, remittance address, federal taxpayer identification or (if owned by an individual) his/her social security number, Invoice Period, Invoice Date, Invoice Number, Amount Due, and the Purchase Order Number(s) being billed. Additional information may be required in the future. Invoices submitted without the required information will not be processed for payment until the TO Contractor provides the required information.
- E) The TO Contractor shall provide the TO Manager with all invoices and supporting documentation.
- F) The TO Contractor shall provide documentation to the TO Manager for the time invoiced for employees, or sub-Contractors. The documentation shall be either certified employee time sheets or electronic time keeping records certified by the TO Contractor's Contract Manager to be the actual time worked by the employees, or its subcontractors on this TO Agreement.
- G) For the Fixed Price portion of this TORFP, payment will only be made upon completion and acceptance by DLLR's TO Manager. Acceptance criteria is as follows:
  - 1) 10% - Deliverable 2.2.2.1 – Attend Project Kick-Off Meeting & Provide Project Management Plan – Task completion verified by TO Manager.
  - 2) 5% - Deliverable 2.2.2.3– Provide Transition & Set-Up Documentation Plans – Task completion and receipt of all analysis and plans verified by TO Manager.
  - 3) 5% - Deliverable 2.2.2.4 – Procure Hardware & Software. Receipt of hardware & Software verified by TO Manager.
  - 4) 20% - Deliverable 2.2.2.5.1 – Install & Test all Hardware.
  - 5) 10% - Deliverable 2.2.2.5.2 – Install & Test all Software.
  - 6) 10% - Deliverable 2.2.2.5.3 – Perform Production Test of all H/W & S/W.
  - 7) 10% - Deliverable 2.2.2 5.4 – Perform Pre-Implementation Performance Verification & Validation.
  - 8) 10% - Deliverable 2.2.2.6 – Provide System Documentation – Receipt of satisfactory documentation verified by the TO Manager.
  - 9) 10% - Deliverable 2.2.2.7 – Initiate/Complete System Implementation – Successful implementation verified by the TO Manager.
  - 10) 10% - Deliverable 2.2.2.9 –Provide Training – Completion of training module verified by TO Manager.

- H) For the Time and Materials portion of this TORFP, the TO Contractor will bill DLLR monthly for the hours worked and the cost of material acquired.
- 1) Deliverable 2.2.2.2 – Provide Current MIDAS System Support.
  - 2) Deliverable 2.2.2.8 – Provide System Service / Maintenance Support.

### 2.5.1 INVOICE SUBMISSION PROCEDURE

This procedure consists of the following requirements and steps:

- A) The invoice shall identify the Department of Labor, Licensing and Regulation as the TO Requesting Agency, deliverable description, associated TO Agreement number, date of invoice, period of performance covered by the invoice, and a TO Contractor point of contact with telephone number.
- B) The TO Contractor shall send the original of each invoice and supporting documentation (itemized billing reference for employees and any subcontractor and signed Acceptance of Deliverable form – Attachment 9, for each deliverable being invoiced) submitted for payment to:
- Department of Labor, Licensing and Regulation,  
Contributions Division  
Attn: Dennis Morton,  
1100 N. Eutaw Street Room 414  
Baltimore, MD 21201
- C) Invoices for final payment shall be clearly marked as “FINAL” and submitted when all work requirements have been completed and no further charges are to be incurred under the TO Agreement. In no event shall any invoice be submitted later than 60 calendar days from the TO Agreement termination date.

### 2.6 REPORTING

- A) The TO Contractor and the DLLR shall conduct monthly progress meetings, or at a frequency determined by the TO Manager. A monthly project progress report shall be submitted two days in advance prior to the discussion with the TO Manager and shall contain, at a minimum, the following information:
- 1) Department of Labor, Licensing and Regulation, TO Number: **P00P6202921**, functional area name and number, reporting period and “Progress Report” to be included in the e-mail subject line.
  - 2) Work accomplished during the month.
  - 3) Deliverable progress, as a percentage of completion.
  - 4) Problem areas including scope creep or deviation from the work plan.
  - 5) Planned activities for the next reporting period.
  - 6) Gantt chart updated from the original to show actual progress; as applicable, explanations for variances and plan for completion on schedule.
  - 7) An accounting report for the current reporting period and a cumulative summary of the totals for both the current and previous reporting periods. The accounting report shall include amounts invoiced-to-date and paid-to-date.
- B) If the TO Contractor fails to provide the TO Manager a progress report within 3 days of

the due date, no further payments will be made to the TO Contractor until such time as the delinquent reports are filed.

## **2.7 MBE**

Monthly reporting of MBE participation is required in accordance with the terms and conditions of the Master Contract. The TO Contractor shall provide a completed MBE Participation form (Attachment 2, Form D-5) to the Department of Labor, Licensing and Regulation, at the same time the invoice copy is sent. The TO Contractor shall ensure that each MBE Subcontractor provides a completed MBE Participation Form (Attachment 2, Form D-6). Subcontractor reporting shall be sent directly from the subcontractor to the Department of Labor, Licensing and Regulation. The Department of Labor, Licensing and Regulation will monitor both the TO Contractor's efforts to achieve the MBE participation goal and compliance with reporting requirements. Contractors shall email completed forms to the Department of Labor, Licensing and Regulation at [ptarpley@dllr.state.md.us](mailto:ptarpley@dllr.state.md.us).

## **2.8 CHANGE ORDERS**

- A) If the Master Contractor is required to perform additional work or a work reduction due to unforeseen scope changes, the TO Contractor and the TO Manager shall negotiate a mutual acceptable price modification based on the TO Contractor's proposed rates in the TO Master Contract and scope of the work change. No scope of work modification shall be performed until a change order is executed by the TO Procurement Officer.
- B) All DLLR service requirements will be coordinated by the TO Manager with the TO Contractor. TO Contractor personnel shall carry out assignments from the TO Manager that fulfill the scope, period of performance, and not-to-exceed budget.

## **2.9 SECURITY AND CONFIDENTIALITY**

- A) The TO Contractor shall comply with and adhere to the Maryland State IT Security Policy and Standards located at [http://www.dbm.maryland.gov/dbm\\_publishing/public\\_content/dbm\\_taxonomy/security/prevention/itsecuritypolicies.pdf](http://www.dbm.maryland.gov/dbm_publishing/public_content/dbm_taxonomy/security/prevention/itsecuritypolicies.pdf). These policies may be revised from time to time and the TO Contractor shall comply with all such revisions. Updated and revised versions of the Maryland State IT Policy and Standards are available on-line at [www.dbm.maryland.gov](http://www.dbm.maryland.gov).
- B) Security Regarding TO Contractor-owned Computer Equipment. The TO Contractor shall not connect any of its own equipment to an Agency's LAN/WAN without prior written approval by the State. The State will provide equipment as necessary for support that entails connection to the State LAN/WAN, or give prior written approval as necessary for connection.
- C) The TO Contractor shall provide and fill-out any necessary paperwork for security access to sign on at the State's site if access is needed to the State's LAN/WAN, as directed and coordinated with the Agency Telecommunication Project Manager or the State Contract Manager.
- D) At all times at any facility, the TO Contractor's personnel shall ensure cooperation with State site requirements which include: being prepared to be escorted at all times, and providing information for wearing the badge in a visual location at all times.
- E) Each person who is an employee or agent of the TO Contractor or subcontractor shall display his or her company ID badges at all times while on State premises. Each such

employee or agent upon request of State personnel shall provide additional photo identification.

F) Security Clearance:

- 1) The Department reserves the right to refuse to allow any individual employee to work on State premises, based upon certain specified criminal convictions.
- 2) An employee of the TO Contractor who has been convicted of a felony or of a crime involving telecommunications and electronics shall not be permitted to work on State premises pursuant to this Contract.

G) On-site Security requirement(s): For all conditions noted below, the TO Contractor's personnel may be barred from entrance or leaving any site until such time that the State conditions and queries are satisfied.

- 1) Any person who is an employee or agent of the TO Contractor or subcontractor and who enters the premises of a facility under the jurisdiction of the Agency may be searched, fingerprinted (for the purpose of a criminal history background check), photographed and required to wear an identification card issued by the Agency.
- 2) Further, the TO Contractor, its employees and agents and Subcontractor employees and agents shall not violate Md. Code Ann., Criminal Law Art. Section 9-410 through 9-417 and such other security policies of the Agency that controls the facility to which access by the TO Contractor will be necessary. The failure of any of the TO Contractor's or Subcontractor's employees or agents to comply with any provision of the Contract that results from award of this solicitation is sufficient grounds for the State to immediately terminate that Contract for default.

H) DLLR Resources and Data Sharing: The TO Contractor shall be required to have staff sign the DLLR Resources and Data Sharing agreement, Attachment 17.

## 2.10

### **SOFTWARE SOURCE CODE AND DOCUMENTATION**

A) Custom Software

- 1) The State shall own any custom software, including, but not limited to application modules developed to integrate with a COTS, source-codes, maintenance updates, documentation, and configuration files, developed under this TO.
- 2) Upon the TO Contractor's voluntary or involuntary filing of bankruptcy or any other insolvency proceeding, TO Contractor's dissolution, TO Contractor's merger with or acquisition by another company or contractor, discontinuance of support of any software or system, the TO Contractor shall convey to the State all rights, title, and interests in all custom software that comprises any solutions proposed as a part of this TO or licenses, software source codes, and all associated Software Source Code Documentation. These rights include, but are not limited to, the rights to use, and cause others to use on behalf of the State, said software, software documentation, licenses, software source codes, and Software Code Documentation.

B) Source Code

- 1) For all custom software provided to the State pursuant to this TO Contract, the TO Contractor shall either provide the source code directly to the State in a form acceptable to the State, or deliver two copies of each software source code and Software Source Code Documentation to a State-approved escrow agent. TO Contractor shall cause the escrow agent to place the software source code in the escrow agent's vaulted location that is located in the Baltimore/Washington area of Maryland that is acceptable to the State. Two copies of the source code shall be stored in compact discs or other media designated by the State in a format acceptable to the State, and shall be easily readable and understandable by functional analysts and technical personnel with the skill set for that type of component, subcomponent, or software code.
- 2) The TO Contractor shall provide the following:
  - a) Name, address, and telephone number of third party who acts as escrow agent;
  - b) Source code escrow procedures;
  - c) Name, address, telephone number of party who audits escrow account;
  - d) Frequency of updates and maintenance of source code at escrow agent;
  - e) Description of licensing arrangements and associated costs.
- 3) The State shall have the right to audit the software source code and corresponding Software Source Code Documentation for each software product that comprises the solution as represented by the TO Contractor. This audit shall be scheduled at any time that is convenient for all parties to be present. The State shall be provided with software or other tools required to view all software source codes.

C) Data

- 1) Data, databases, and derivative data products, which have been created, collected, manipulated, or purchased are considered property of the State.
- 2) Data and derived data products collected, manipulated, or directly purchased as part of this TO shall become the property of the State. The purchasing State agency is considered the custodian of the data and shall determine the use, access, distribution and other conditions based on appropriate State statutes and regulations.
- 3) Licensed and/or copyrighted data shall be governed by the terms and conditions as specified/identified in this TO.
- 4) Unless requested by the State, or proposed differently due to previous ownership privileges, the TO Contractor agrees that all documents and materials including but not limited to, software, reports, drawings, studies, specifications, estimates, tests, maps, photographs, designs, graphics, mechanical, artwork, computations and data prepared by the Contractor, solely for purposes of this TO with the State of Maryland shall be the sole property of the State and shall be available to at any time. The State shall have the right to use the same without restriction and without compensation to the TO Contractor

## **SECTION 3 TO PROPOSAL FORMAT AND SUBMISSION REQUIREMENTS**

### **3.1 REQUIRED RESPONSE**

- A) Each TO Contractor receiving this CATS TORFP must respond within the submission time designated in the Key Information Summary Sheet.
- B) Each TO Contractor is required to submit one of two possible responses:
  - 1) A proposal or
  - 2) A completed Notice to TO Contractors (See page 5 of this TO (Notice to Master Contractors)) explaining why the TO Contractor will not be submitting a proposal.

### **3.2 FORMAT**

If a TO Contractor elects to submit a TO Proposal, the TO Contractor shall do so in conformance with the requirements of this CATS TORFP. See section 1.3 for TO Proposal Submission information. A TO Proposal shall provide the following:

#### **3.2.1 THE TECHNICAL PORTION OF THE PROPOSAL SHALL INCLUDE**

A) Transmittal Letter

A transmittal letter shall accompany the technical proposal. The purpose of this letter is to transmit the proposal and acknowledge the receipt of any addenda. The transmittal letter should be brief and reflect the individual who is authorized to commit the TO Contractor to the services and requirements as stated in the TO Proposal.

B) Title and Table of Contents

The Technical Proposal shall begin with a title page bearing the name and address of the TO Contractor and the name and number of this TORFP. A table of contents shall follow the title page for the Technical Proposal.

C) Executive Summary

The TO Contractor shall condense and highlight the contents of the technical proposal in a separate section titled "Executive Summary." Within the Executive Summary, the TO Contractor shall clearly identify what services they are proposing. The Summary shall provide a broad overview of the contents of the entire proposal.

- 1) The TO Contractor shall state that they have no exceptions to the requirements of this TO, the Task Order Agreement (Attachment 3), or any other attachments.  
Warning: Exceptions to terms and conditions shall result in having the proposal deemed unacceptable or classified as not reasonably susceptible of being selected for award.
- 2) The TO Contractor shall clearly state that they are listed on the Consulting and Technical Services (CATS) Task Order Request for Proposals (TORFP) for the required functional area for which they are proposing services.

D) Proposed Services – Work Plan

The technical Proposed Services – Work Plan of the TO Proposal shall include the following:



- 1) Requirements: A detailed discussion of the TO Contractor's understanding of the work and the TO Contractor's capabilities, approach and solution to address the requirements outlined in Section 2.
- 2) Assumptions: A description of any assumptions formed by the TO Contractor in developing the Technical Proposal.
- 3) Risk Assessment: An assessment of any risks inherent in the work requirement and actions to mitigate these risks.
- 4) Proposed Solution: A description of the TO Contractor's proposed solution to accomplish the specified work requirements.
  - a) The TO Contractor shall propose an upgrade of the MIDAS system, support for transition to MIDAS upgrade, and subsequent support and maintenance. This section must clearly indicate whether the TO Contractor proposal satisfied each mandatory specification of the TORFP.
  - b) The TO Contractor shall provide a strategy to integrate the existing images into the new MIDAS system;
  - c) The TO Contractor shall propose a complete solution to address the services and hardware listed below and detail their service offerings for each component of the MIDAS Upgrade solution.
    - (1) Hardware solution;
    - (2) Software solution;
    - (3) System integration;
    - (4) Database management;
    - (5) System maintenance
  - d) The TO Contractor shall provide a description of the methodology to integrate the database with the application software. The description must include the interface with the imaging application software as well as the network Visual Objects applications.
  - e) The TO Contractor shall provide a description of the methodology for the rapid response (retrieval) time for image viewing and OCR reject and repair.
  - f) The TO Contractor shall clearly describe the extent to which existing functions in the VO application suite will be replaced by their MIDAS solution.
- 5) Proposed Tools: A description of all proposed tools that will be used to facilitate the work.
- 6) Tasks and deliverables: A description of and the schedule for each task and deliverable, illustrated by a Gantt chart. Start and completion dates for each task and deliverable shall be indicated. The Gantt chart will form the baseline for task order monitoring, and will be updated bi-weekly as part of progress reporting. (See section 2.7).

- 7) Work Breakdown Structure: A detailed work breakdown structure and staffing schedule, with labor hours by skill category, resumes that will be applied to meet each deliverable and to accomplish all specified work requirements.
  - 8) Acceptance Criteria: A statement acknowledging the TO Contractor's understanding of the acceptance criteria.
  - 9) The TO Contractor shall also include any illustrative material that the TO Contractor deems necessary to describe the work plan with documented policies, plans and procedures.
- E) Proposed Personnel
- 1) Identify all proposed personnel by labor category.
  - 2) Provide the names and titles of all key management personnel who will be involved with supervising the services rendered under this TORFP.
  - 3) TO Contractors shall only propose staff available at the time of this TORFP.
  - 4) The TO Contractor shall certify that all candidates meet the required qualifications. At the option of the State, TO Contractor personnel may be approved for performance in multiple skill categories for which they are qualified. However, personnel cannot perform in multiple labor categories at the same time.
  - 5) Individuals proposed and accepted as personnel for this TORFP are expected to remain dedicated throughout this TORFP commitment. Substitutions will be allowed only when the TO Manager specifically agrees to the substitution in writing or due to an emergency circumstance. All proposed substitutes of personnel must have qualifications at least equal to that of the person initially proposed and evaluated and accepted in this TORFP. The burden of illustrating this comparison will be the TO Contractor's. The resumes of the initially proposed personnel shall become the minimum requirement for qualifications for successor personnel for the duration of the TORFP term.
  - 6) Complete and provide Attachment 5 – Labor Classification Personnel Resume Summary.
  - 7) During the performance period for this TORFP, no substitution of personnel will be permitted unless such substitutions are necessitated by an individual's sudden illness, death, or as otherwise approved by the TO Manager. In any of these events, the TO Contractor shall promptly notify the TO Manager. All proposed substitutions of personnel for other than emergency situations must be submitted in writing, at least 15 business days in advance of the proposed substitution, to the TO Manager. The TO Manager must agree to the substitution in writing before such substitution shall become effective.
  - 8) All requests for substitutions must provide a detailed explanation of the circumstances necessitating the proposed substitutions, a resume of the proposed substitute and any other information requested by the TO Manager to make a determination as to the appropriateness of the proposed substitution. All proposed substitutes must have educational qualifications and work experience equal to or better than the resume initially proposed for personnel; the burden of illustrating this comparison shall be the TO Contractor's.

- 9) Resumes shall be signed by all substituting individuals and their formal supervisor, and the official resume of the previous employee shall be provided for comparison purposes.

F) MBE Participation

Submit completed MBE Documents Attachment 2, Forms D-1 and D-2.

G) Subcontractors

Identify all proposed subcontractors, including MBEs, and their full roles in the performance of this TORFP.

H) TO Contractor and Subcontractor Experience and Capabilities

Provide three examples of projects that have been completed by the TO Contractor and subcontractor that were similar in scope to the one defined in this TORFP Scope of Work. Past experience shall include integrating and providing document management and imaging services for a large installation in excess of 1,000,000 images and database table entries. Each of the three examples must include a reference complete with the following:

- 1) Name of organization;
- 2) Name, Title, and telephone number of the point of contact for the reference;
- 3) Type and duration of contract(s) supporting the reference;
- 4) The service provided, scope of the contract and performance objectives satisfied as they relate to the scope of this TORFP; and
- 5) Whether the TO Contractor is still providing these services and, if not, an explanation of why it is no longer providing the services to the client organization.

**Note:** The State shall have the right to contact any reference as part of the evaluation and selection process. The State also reserves the right to request site visits to the TO Contractor's offices for the purpose of evaluating proposals.

I) Proposed Facility

All work will be performed at DLLR, 1100 N. Eutaw, Baltimore, MD 21201.

J) State Assistance

A reasonable level of the following items will be provided as appropriate/required to the TO Contractor's personnel:

- 1) Office space;
- 2) Office furniture (table/desk and chair);
- 3) Telephone and fax equipment (local use only);
- 5) Photocopier(s) and printer(s);
- 6) Personal computer with E-Mail and Internet services;
- 7) Access to the current MIDAS system;
- 8) Parking will not be provided by DLLR. Private parking near the facility typically costs \$40 to \$60 per month. Light rail and metro stops are within four (4) blocks of the facility

K) Confidentiality

A TO Contractor should give specific attention to the identification of those portions of its proposal that it considers confidential, proprietary commercial information or trade secrets, and provide justification why such materials, upon request, should not be disclosed by the State under the Public Information Act, Title 10, Subtitle 6, of the State Government Article of the Annotated Code of Maryland. TO Contractors are advised that, upon request for this information from a third party, the TO Procurement Officer will be required to make an independent determination regarding whether the information may be disclosed.

**3.2.2 THE FINANCIAL RESPONSE OF THE TO PROPOSAL SHALL INCLUDE**

- A) A description of any assumptions on which the TO Contractor's Financial Proposal is based;
- B) Attachment 1 - Completed Price Proposal, including:
  - 1) Provide a detailed price breakdown structure(s), that will be applied to meet each deliverable, and accomplishes all specified work requirements.
  - 2) Do not alter or change any wording of the Price Proposal Form.
  - 3) No additions, conditions or amendments to the Price Proposal Form are permitted and such will cause the offer to be declared unacceptable.

## **SECTION 4 PROCEDURE FOR AWARDING A TO AGREEMENT**

### **4.1 EVALUATION CRITERIA**

- A) The TO Contractor will be selected from among all eligible TO Contractors within the appropriate functional area responding to the CATS TORFP. In making the TO Agreement award determination, the TO Requesting Agency will consider all information submitted in accordance with Section 3.
- B) The State reserves the right to require from the TO Contractor an oral presentation to the evaluation committee or any other State designated personnel. The TO Contractor will receive a minimum of three-calendar days notice prior to the presentation. The State reserves the right to request any key personnel proposed by the TO Contractor to attend the oral presentation.

### **4.2 TECHNICAL CRITERIA**

The following are technical criteria for evaluating a TO Proposal in descending order of importance.

- A) Judged quality of the Technical Response to TO Agreement Requirements. (Reference Section 2, Scope of Work and Section 3.2.1 D). The technical Proposed Services – Work Plan of the TO Proposal response to work requirements in the TO Agreement that illustrates a comprehensive understanding of work requirements to include an explanation of how the work will be done. Responses to work requirements such as “concur” or “will comply” will receive a lower evaluation ranking than those TO Contractors who demonstrate they understand a work requirement and have a plan to meet or exceed it.
- B) Personnel: Reference Section 3.2.1 E.
- C) Experience and Capabilities: Reference Section 3.2.1 H.

### **4.3 SELECTION PROCEDURE**

- A) TO Proposals deemed technically qualified will have their financial proposal considered. All others will receive e-mail notice from the TO Procurement Officer of not being selected to perform the work.
- B) Qualified TO Proposal financial responses will be reviewed and ranked from lowest to highest price proposed.
- C) The most advantageous TO Proposal offer considering technical and financial submission shall be selected for the work assignment. In making this selection, technical merit will receive greater weight than price.

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

Commencement of work in response to a TO Agreement shall be initiated only upon issuance of a fully executed TO Agreement, Purchase Order and by a Notice to Proceed authorized by the TO Procurement Officer. See Attachment 7 - Notice to Proceed (sample).

## ATTACHMENT 1 – PRICE PROPOSAL

**PRICE PROPOSAL FOR CATS TORFP # P00P6202921**      Date: \_\_\_\_\_

**A. YEAR ONE:** Include here costs identified for providing database administration support for the current MIDAS imaging system and all costs identified for the MIDAS II Optical Character Recognition (OCR) and document management system integration services, migration of existing OCR and document management, MIDAS (Management Images and Data Access System), upgrading the current Oracle database and provision for ongoing system service/maintenance, user support, and training.

**A. (1) MIDAS Migration Services – (Firm Fixed Price)** Includes all items listed in Section 2.

Identification	Deliverable	Proposed Price
2.2.2.1	Provide Project Management Plan at Kick-Off Meeting	
2.2.2.3	Provide Transition & Set-Up Documentation Plans	
2.2.2.4	Provide proposed Hardware and Software for a Turn key System, <b>FOB Destination</b>	
2.2.2.5.1	Install & Test Hardware	
2.2.2.5.2	Install and Configure Software	
2.2.2.5.3	Perform Production Test of S/W & H/W	
2.2.2.5.4	Perform Pre-Implementation Performance Verification & Validation	
2.2.2.6	Provide System Documentation	
2.2.2.7	Initiate/Complete System Implementation	
2.2.2.8	Provide System / Maintenance Support	
2.2.2.9	Provide Training	
<b>(A)(1) Total Year One Proposed Fixed Price</b>		

**A. (2) Support of Current MIDAS Imaging System (Time and Material Price)**

Labor Categories	Hourly Labor Rate	Total Class Hours	Total Proposed CATS TORFP Price
Database Management Specialist	\$	832	\$
<b>(A)(2) Total Year One Proposed Time &amp; Material Price</b>			<b>\$</b>

**A. Total Year One Proposed Price A.(1) + A.(2) = \$ \_\_\_\_\_**

PRICE PROPOSAL FOR CATS TORFP # P00P6202921 (Continued)

**B. YEAR TWO:** Include here all costs for ongoing for system service/ maintenance support for the MIDAS system for the 2<sup>nd</sup> Year.

- **MIDAS System Service/Maintenance Support**

Labor Categories	Hourly Labor Rate	Total Class Hours	Total Proposed CATS TORFP Price
Project Manager	\$	200	\$
Systems Analyst	\$	1,100	\$
Application Programmer	\$	1,100	\$
Junior Application Programmer	\$	832	\$
Database Management Specialist	\$	832	\$
<b>(B) Total Year Two Proposed Time &amp; Material Price</b>			\$

**C. TOTAL Base Contract Price (2 Years):**

(Add A+B) = \$ \_\_\_\_\_

**Total Base PRICE**

**D. OPTION YEAR ONE:** Include here all costs identified for system service/ maintenance support for the MIDAS system for the 1<sup>st</sup> additional Optional Year.

- **MIDAS System Service/Maintenance Support**

Labor Categories	Hourly Labor Rate	Total Class Hours	Total Proposed CATS TORFP Price
Project Manager	\$	200	\$
Systems Analyst	\$	1,100	\$
Application Programmer	\$	1,100	\$
Junior Application Programmer	\$	832	\$
Database Management Specialist	\$	832	\$
<b>(D) Total Option Year One Proposed Time &amp; Material Price</b>			\$

PRICE PROPOSAL FOR CATS TORFP # P00P6202921 (Continued)

**E. TOTAL PROPOSED PRICE** (Base & 1Option Year)

(Add C+D) = \$ \_\_\_\_\_

**TOTAL PROPOSED PRICE**

**Note #1:** The Department intends to make a Single Award as a result of this solicitation. The Contract that results from this TORFP shall be a Firm Fixed Price Contract in accordance with COMAR 21.06.03.02 and a Time and Material Price in accordance with COMAR 21.06.03.05 for the first year and a Time and Material Price for years two and three and two (2) one year options.

\* The Hourly Labor Rate is the actual rate the State will pay for services and must be recorded in dollars and cents. The Hourly Labor Rate cannot exceed the TO Contract Rate, but may be lower.

**Note #2:** The “Total Two Year Estimated Price for the MIDAS System (System/Service Maintenance Support) specified above is based on model quantities and will be used for price evaluation, comparison and selection for recommendation for award. The number of estimated hours indicated is not a guarantee of any maximum or minimum quantities under the contract and may change at any time during the term of the contract. The actual amount to be paid to the TO Contractor shall be calculated using the Firm Fixed Unit Prices specified on the Price Proposal Form (labor skill category hourly rate) and the actual number of hours administered by the TO Contractor.

**Note #3:** All bid prices entered above are to be fully loaded prices that include all costs/expenses associated with the provision of services as required by this TORFP. The bid prices shall include, but are not limited to: Labor, Profit/Overhead, Travel, General Operating and all other expenses, except as expressly excluded in the RFP specifications. No other amounts will be paid to the TO Contractor.

**Federal Employer ID No. or Social Sec. No.** \_\_\_\_\_

**The TO Contractor (is \_\_\_) (is not \_\_\_) a Maryland State certified MBE.**

**Certification No.:** \_\_\_\_\_

**eMarylandMarketPlace Registration No.:** \_\_\_\_\_

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

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

\_\_\_\_\_  
Title

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

**Note:**

The Hourly Labor Rate is the actual rate the State will pay for services and must be recorded in dollars and cents. The Hourly Labor Rate cannot exceed the TO Contract Rate, but may be lower.

SUBMIT AS A .PDF FILE WITH THE FINANCIAL RESPONSE



## ATTACHMENT 2 – MBE FORMS

### TO CONTRACTOR MBE REPORTING REQUIREMENTS

#### CATS TORFP # **P00P6202921**

These instructions are meant to accompany the customized reporting forms sent to you by the TO Manager. If, after reading these instructions, you have additional questions or need further clarification, please contact the TO Manager immediately.

1. As the TO Contractor, you have entered into a TO Agreement with the State of Maryland. As such, your company/firm is responsible for successful completion of all deliverables under the contract, including your commitment to making a good faith effort to meet the MBE participation goal(s) established for TORFP. Part of that effort, as outlined in the TORFP, includes submission of monthly reports to the State regarding the previous month's MBE payment activity. Reporting forms D-5 (TO Contractor Paid/Unpaid MBE Invoice Report) and D-6 (Subcontractor Paid/Unpaid MBE Invoice Report) are attached for your use and convenience.
2. The TO Contractor must complete a separate Form D-5 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 15<sup>th</sup> of the month following the month that is being reported. For example, the report for January's activity is due no later than the 15<sup>th</sup> 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 of 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 (e-copy of and/or hard copy) of Form D-6. The TO Contractor should make sure that the subcontractor receives all the information necessary to complete the form properly, i.e., all of the information located in the upper right corner of the form. It may be wise to customize Form D-6 (upper right corner of the form) for the subcontractor the same as the Form D-5 was customized by the TO Manager for the benefit of the TO Contractor. 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 15<sup>th</sup> of each month, regardless of whether there was any MBE payment activity for the reporting month. Actual payment data is verified and entered into the State's financial management tracking system from the subcontractor's D-6 report only. Therefore, if the subcontractor(s) do not submit their D-6 payment reports, the TO Contractor cannot and will not be given credit for subcontractor payments, regardless of the TO Contractor's proper submission of Form D-5. 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. 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 – MBE FORMS**  
**FORM D - 1**  
**CERTIFIED MBE UTILIZATION AND FAIR SOLICITATION**  
**AFFADAVIT**

**This document shall be included with the submittal of the Offeror’s TOP. If the Offeror fails to submit this form with the TO Proposal, the TO Procurement Officer shall determine that the Offeror’s TO Proposal is not reasonably susceptible of being selected for award.**

In conjunction with the offer submitted in response to TORFP No. **P00P6202921**, I affirm the following:

1. I acknowledge the overall certified Minority Business Enterprise (MBE) participation goal of **25** percent and, if specified in the TORFP, sub-goals of **7** percent for MBEs classified as African American-owned and **10** percent for MBEs classified as women-owned. I have made a good faith effort to achieve this goal.

OR

After having made a good faith effort to achieve the MBE participation goal, I conclude that I am unable to achieve it. Instead, I intend to achieve an MBE goal of  percent and request a waiver of the remainder of the goal. If I am selected as the apparent TO Agreement awardee, I will submit written waiver documentation that complies with COMAR 21.11.03.11 within 10 business days of receiving notification that our firm is the apparent low bidder or the apparent awardee.

2. I have identified the specific commitment of certified Minority Business Enterprises by completing and submitting an MBE Participation Schedule (Attachment 2 - Form D-2) with the proposal.
3. I acknowledge that the MBE subcontractors/suppliers listed in the MBE Participation Schedule will be used to accomplish the percentage of MBE participation that I intend to achieve.
4. I understand that if I am notified that I am the apparent TO Agreement awardee, I must submit the following documentation within 10 working 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 D-3)
  - (b) Subcontractor Project Participation Statement (Attachment D-4)
  - (c) MBE Waiver Documentation per COMAR 21.11.03.11 (if applicable)
  - (d) Any other documentation required by the TO Procurement Officer to ascertain offeror’s responsibility in connection with the certified MBE participation goal.

If I am the apparent TO Agreement awardee, I acknowledge that if I fail to return each completed document within the required time, the TO Procurement Officer may determine that I am not responsible and therefore not eligible for TO Agreement award. If the TO Agreement has already been awarded, the award is voidable.

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

I solemnly affirm under the penalties of perjury that the contents of this paper are true to the best of my knowledge, information, and belief.

\_\_\_\_\_  
Offeror Name

\_\_\_\_\_  
Signature of Affiant

\_\_\_\_\_  
Address

\_\_\_\_\_  
Printed Name, Title

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Date

SUBMIT AS A PDF FILE WITH TO RESPONSE

**ATTACHMENT 2 – MBE FORMS**  
**FORM D – 2**  
**MBE PARTICIPATION SCHEDULE**

**This document shall be included with the submittal of the TO Proposal. If the Offeror fails to submit this form with the TO Proposal, the TO Procurement Officer shall determine that the TO Proposal is not reasonably susceptible of being selected for award.**

TO Prime Contractor (Firm Name, Address, Phone)	Task Order Description
Task Order Agreement Number <b>P00P6202921</b>	
<b>List Information For Each Certified MBE Subcontractor On This Project</b>	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	

**USE ATTACHMENT D-2 CONTINUATION PAGE AS NEEDED**

**SUMMARY**

<b>TOTAL MBE PARTICIPATION:</b>	_____ %
<b>TOTAL WOMAN-OWNED MBE PARTICIPATION:</b>	_____ %
<b>TOTAL AFRICAN AMERICAN-OWNED MBE PARTICIPATION:</b>	_____ %

Document Prepared By: (please print or type)

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

# ATTACHMENT 2 – MBE FORMS

## FORM D – 2

### MBE PARTICIPATION SCHEDULE (CONTINUED)

List Information For Each Certified MBE Subcontractor On This Project	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	
Minority Firm Name	MBE Certification Number
Work To Be Performed/SIC	
Percentage of Total Contract	

SUBMIT AS A PDF FILE WITH TO RESPONSE

# ATTACHMENT 2 – MBE FORMS

## FORM D – 3

### OUTREACH EFFORTS COMPLIANCE STATEMENT

In conjunction with the bid or offer submitted in response to TORFP # **P00P6202921**, I state the following:

1. Offeror identified opportunities to subcontract in these specific work categories:
  
2. Attached to this form are copies of written solicitations (with bidding instructions) used to solicit certified MBEs for these subcontract opportunities.
  
3. Offeror made the following attempts to contact personally the solicited MBEs:
  
4.  /Offeror assisted MBEs to fulfill or to seek waiver of bonding requirements.  
(DESCRIBE EFFORTS)  
  
 This project does not involve bonding requirements.
  
5.  Offeror did/did not attend the pre-proposal conference  
 No pre-proposal conference was held.

\_\_\_\_\_  
Offeror Name

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

\_\_\_\_\_  
Address

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

SUBMIT WITHIN 10 WORKING DAYS OF RECEIVING NOTICE OF THE POTENTIAL AWARD

# ATTACHMENT 2 – MBE FORMS

## FORM D – 4

### SUBCONTRACTOR PROJECT PARTICIPATION STATEMENT

SUBMIT ONE FORM FOR EACH CERTIFIED MBE LISTED IN THE MBE PARTICIPATION SCHEDULE

Provided that \_\_\_\_\_ is awarded the TO Agreement in

(Prime TO Contractor Name)

conjunction with TORFP No. **P00P6202921**, it and \_\_\_\_\_,

(Subcontractor Name)

MDOT Certification No. \_\_\_\_\_, intend to enter into a contract by which the subcontractor shall:

(Describe work to be performed by MBE):

---

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- No bonds are required of Subcontractor
- The following amount and type of bonds are required of Subcontractor:

By:

By:

\_\_\_\_\_  
Prime Contractor Signature

\_\_\_\_\_  
Subcontractor Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

SUBMIT WITHIN 10 WORKING DAYS OF RECEIVING NOTICE OF THE POTENTIAL AWARD

**ATTACHMENT 2 – MBE FORMS FORM D – 5**  
**MBE Participation TO Contractor Paid/Unpaid Invoice Report**

Report #: _____	CATS TORFP # <b>P00P6202921</b>
Reporting Period (Month/Year): _____	Contracting Unit _____
<b>Report is due by the 15<sup>th</sup> of the following month.</b>	Contract Amount _____
	MBE Sub Contract Amt _____
	Contract Begin Date _____
	Contract End Date _____
	Services Provided _____

Prime TO Contractor:		Contact Person:	
Address:			
City:		State:	ZIP:
Phone:	FAX:		
Subcontractor Name:		Contact Person:	
Phone:	FAX:		
Subcontractor Services Provided:			
<b>List all unpaid invoices over 30 days old received from the MBE subcontractor named above:</b>			
1.			
2.			
3.			
<b>Total Dollars Unpaid: \$</b> _____			

\*\*If more than one MBE subcontractor is used for this contract, please use separate forms.

**Return one copy of this form to the following address:**

Dennis Morton, TO Manager, DLLR, 1100 N.Eutaw, Room 414, Baltimore, MD 12201, <a href="mailto:dmorton@dllr.state.md.us">dmorton@dllr.state.md.us</a>	Patricia Tarpley, TO Procurement Officer, DLLR, 500 N. Calvert Rm 476, Baltimore, MD 21201, <a href="mailto:ptarpley@dllr.state.md.us">ptarpley@dllr.state.md.us</a>
---	---

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

SUBMIT AS REQUIRED IN TO CONTRACTOR MBE REPORTING REQUIREMENTS

**ATTACHMENT 2 – MBE FORMS FORM D – 6**

**MBE PARTICIPATION SUBCONTRACTOR PAID/UNPAID INVOICE REPORT**

Report #: _____	CATS TORFP # <b>P00P6202921</b>
Reporting Period (Month/Year): __/____	Contracting Unit _____
	Contract Amount _____



<b>Report Due By the 15<sup>th</sup> of the following Month.</b>	MBE Sub Contract Amt _____	
	Contract Begin Date _____	
	Contract End Date _____	
	Services Provided _____	
MBE Subcontractor Name:		
MDOT Certification #:		
Contact Person:		
Address:		
City:		State: ZIP:
Phone:	FAX:	
Subcontractor Services Provided:		
<b>List all payments received from Prime TO Contractor during reporting period indicated above.</b> 1. 2. 3. <b>Total Dollars Paid: \$</b> _____		<b>List dates and amounts of any unpaid invoices over 30 days old.</b> 1. 2. 3. <b>Total Dollars Unpaid: \$</b> _____
Prime TO Contractor:		Contact Person:

**Return one copy of this form to the following address:**

Dennis Morton, TO Manager, DLLR, 1100 N. Eutaw, Room 414, Baltimore, MD 12201, <a href="mailto:dmorton@dllr.state.md.us">dmorton@dllr.state.md.us</a>	Patricia Tarpley, TO Procurement Officer, DLLR, 500 N. Calvert Rm 481, Baltimore, MD 21201, <a href="mailto:ptarpley@dllr.state.md.us">ptarpley@dllr.state.md.us</a>
---	---

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

SUBMIT AS REQUIRED IN TO CONTRACTOR MBE REPORTING REQUIREMENTS

## ATTACHMENT 3 – TASK ORDER AGREEMENT

### CATS TORFP# P00P6202921 NUMBER OF TO CONTRACT #050R5800338

This Task Order Agreement (“TO Agreement”) is made this day of Month, 200X by and between Task Order Contractor (TO Contractor) and the STATE OF MARYLAND, TO Requesting Agency.

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

1. Definitions. In this TO Agreement, the following words have the meanings indicated:
  - a. “Agency” means the TO Requesting Agency, as identified in the CATS TORFP # P00P6202921.
  - b. “CATS TORFP” means the Task Order Request for Proposals # P00P6202921, dated MONTH DAY, YEAR, including any addenda.
  - c. “TO Contract” means the CATS TO Contract between the Maryland Department of Budget and Management and TO Contractor dated December 19, 2005.
  - d. “TO Procurement Officer” means TO Procurement Officer. The Agency may change the TO Procurement Officer at any time by written notice to the TO Contractor.
  - e. “TO Agreement” means this signed TO Agreement between TO Requesting Agency and TO Contractor.
  - f. “TO Contractor” means the CATS TO Contractor awarded this TO Agreement, whose principal business address is \_\_\_\_\_ and whose principal office in Maryland is \_\_\_\_\_.
  - g. “TO Manager” means TO Manager of the Agency. The Agency may change the TO Manager at any time by written notice to the TO Contractor.
  - h. “TO Proposal - Technical” means the TO Contractor’s technical response to the CATS TORFP dated date of TO Proposal – Technical.
  - i. “TO Proposal – Financial” means the TO Contractor’s financial response to the CATS TORFP dated date of TO Proposal - Financial.
  - j. “TO Proposal” collectively refers to the TO Proposal – Technical and TO Proposal – Financial.
2. Scope of Work
  - 2.1 This TO Agreement incorporates all of the terms and conditions of the TO Contract and shall not in any way amend, conflict with or supercede the TO Contract.
  - 2.2 The TO Contractor shall, in full satisfaction of the specific requirements of this TO Agreement, provide the services set forth in Section 2 of the CATS TORFP. These services shall be provided in accordance with the TO Contract, this TO Agreement, and the following Exhibits, which are attached and incorporated herein by reference. If there is any conflict among the TO Contract, this TO Agreement, and these Exhibits, the terms of the TO Contract shall govern. If there is any conflict between this TO Agreement and any of these Exhibits, the following order of precedence shall determine the prevailing provision:
    - a. The TO Agreement,
    - b. Exhibit A – CATS TORFP
    - c. Exhibit B – TO Proposal-Technical

d. Exhibit C – TO Proposal-Financial

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

3. Time for Performance

Unless terminated earlier as provided in the TO Contract, the TO Contractor shall provide the services described in the TO Proposal and in accordance with the CATS TORFP on receipt of a Notice to Proceed from the TO Manager. The term of this TO Agreement is for a period of **insert time for performance**, commencing on the date of Notice to Proceed and terminating on **Month Day, Year**.

4. Consideration and Payment

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

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

TO Contractor Name

By: Type or Print TO Contractor POC

Date

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

STATE OF MARYLAND, TO Requesting Agency

By: insert name, TO Procurement Officer

Date

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

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

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

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

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

(Authorized Representative and Affiant)

SUBMIT AS A .PDF FILE WITH TO RESPONSE

## **ATTACHMENT 5 – LABOR CLASSIFICATION PERSONNEL RESUME SUMMARY**

### INSTRUCTIONS:

1. TO Contractors must comply with all personnel requirements under the TO Contract RFP 050R5800338.
2. Only labor categories proposed in the TO Contractors Financial Proposal may be proposed under the CATS TORFP process.
3. For each person proposed in any of the labor categories, complete one Labor Category Personnel Resume Summary to document how the proposed person meets each of the minimum requirements.

For example: If you propose John Smith, who is your subcontractor, and you believe he meets the requirements of the Group Facilitator, you will complete the top section of the form by entering John Smith's name and the subcontractor's company name. You will then complete the right side of the Group Facilitator form documenting how the individual meets each of the requirements. Where there is a time requirement such as three months experience, you must provide the dates from and to showing an amount of time that equals or exceeds mandatory time requirement; in this case, three months.

4. Each form also includes examples of duties to perform. The proposed person must be able to fulfill those duties.
5. For each subject matter expert, the State will identify the particular area of expertise and the TO Contractor shall provide proof the individual has qualifications within that area of expertise.
6. Additional information may be attached to each Labor Category Personnel Resume Summary that may assist a full and complete understanding of the individual being proposed.

## LABOR CLASSIFICATION PERSONNEL RESUME SUMMARY (CONTINUED)

Proposed Individual's Name/Company:	How does the proposed individual meet each requirement?
<b>LABOR CLASSIFICATION TITLE – (INSERT LABOR CATEGORY NAME)</b>	
Education: (Insert the education description from the CATS RFP from Section 2.12 for the applicable labor category.)	
Experience: (Insert the experience description from the CATS RFP from Section 2.12 for the applicable labor category.)	
Duties: (Insert the duties description from the CATS RFP from Section 2.12 for the applicable labor category.)	

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

**Contractor's Contract Administrator:**

\_\_\_\_\_

Signature
Date

**Proposed Individual:**

\_\_\_\_\_

Signature
Date

SUBMIT AS A PDF FILE WITH TECHNICAL RESPONSE

**ATTACHMENT 6 – DIRECTIONS  
TO THE PRE-TO PROPOSAL CONFERENCE**

**Location:** 1100 N. Eutaw Street, Basement Conference Room  
Baltimore, MD 21201

**Parking:** Parking will not be provided by DLLR. Private parking is available at nearby parking facilities.



## ATTACHMENT 7 – NOTICE TO PROCEED

Month Day, Year

TO Contractor Name

TO Contractor Mailing Address

Re: CATS Task Order Agreement #P00P6202921

Dear TO Contractor Contact:

This letter is your official Notice to Proceed as of Month Day, Year, for the above-referenced Task Order Agreement. TO Manager of the TO Requesting Agency will serve as your contact person on this Task Order. TO Manager can be reached at telephone # and email address.

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

Sincerely,

TO Procurement Officer

Task Order Procurement Officer

Enclosures (2)

cc: TO Manager

Procurement Liaison Office, Office of Information Technology, DBM

Project Management Office, Office of Information Technology, DBM

# ATTACHMENT 8 – AGENCY RECEIPT OF DELIVERABLE FORM

I acknowledge receipt of the following:

TORFP Title: DLLR MIDAS Migration

TO Agreement Number: #P00P6202921

Title of Deliverable: \_\_\_\_\_

TORFP Reference Section Number: \_\_\_\_\_

Deliverable Reference ID Number: \_\_\_\_\_

Name of TO Manager: TO Manager

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

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

Name of TO Contractor's Project Manager: \_\_\_\_\_

\_\_\_\_\_  
TO Contractor's Project Manager Signature

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

SUBMIT AS REQUIRED IN SECTION 2.2.1 OF THE TORFP.

# ATTACHMENT 9 – AGENCY ACCEPTANCE OF DELIVERABLE FORM

Agency Name: DLLR

TORFP Title: DLLR MIDAS Migration

TO Manager: TO Manager and Phone Number

To: TO Contractor's Contract Manager

The following deliverable, as required by TO Agreement #P00P6202921, has been received and reviewed in accordance with the TORFP.

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

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

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

This deliverable:

Is accepted as delivered.

Is rejected for the reason(s) indicated below.

REASON(S) FOR REJECTING DELIVERABLE:

OTHER COMMENTS:

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

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

ISSUED BY THE TO MANAGER AS REQUIRED IN SECTION 2.2.1 OF THE TORFP.

## ATTACHMENT 10 – NON-DISCLOSURE AGREEMENT (OFFEROR)

This Non- Disclosure Agreement (the "Agreement") is made this \_\_\_ day of \_\_\_\_\_ 200\_, by and between \_\_\_\_\_ (hereinafter referred to as "the OFFEROR ") and the State of Maryland (hereinafter referred to as " the State").

OFFEROR warrants and represents that it intends to submit a TO Proposal in response to CATS TORFP #P00P6202921 for DLLR MIDAS Migration. In order for the OFFEROR to submit a TO Proposal, it will be necessary for the State to provide the OFFEROR with access to certain confidential information including, but not limited, to \_\_\_\_\_. All such information provided by the State shall be considered Confidential Information regardless of the form, format, or media upon which or in which such information is contained or provided, regardless of whether it is oral, written, electronic, or any other form, and regardless of whether the information is marked as "Confidential Information". As a condition for its receipt and access to the Confidential Information described in Section 1.7 of the TORFP, OFFEROR agrees as follows:

1. OFFEROR will not copy, disclose, publish, release, transfer, disseminate or use for any purpose in any form any Confidential Information received under Section 1.7, except in connection with the preparation of its TO Proposal.
2. Each employee or agent of the OFFEROR who receives or has access to the Confidential Information shall execute a copy of this Agreement and the OFFEROR shall provide originals of such executed Agreements to the State. Each employee or agent of the OFFEROR who signs this Agreement shall be subject to the same terms, conditions, requirements and liabilities set forth herein that are applicable to the OFFEROR.
3. OFFEROR shall return the Confidential Information to the State within five business days of the State's Notice of recommended award. If the OFFEROR does not submit a Proposal, the OFFEROR shall return the Confidential Information to Patricia Tarpley, Procurement Officer, DLLR on or before the due date for Proposals.
4. OFFEROR acknowledges that the disclosure of the Confidential Information may cause irreparable harm to the State and agrees that the State may obtain an injunction to prevent the disclosure, copying, or other impermissible use of the Confidential Information. The State's rights and remedies hereunder are cumulative and the State expressly reserves any and all rights, remedies, claims and actions that it may have now or in the future to protect the Confidential Information and/or to seek damages for the OFFEROR'S failure to comply with the requirements of this Agreement. The OFFEROR consents to personal jurisdiction in the Maryland State Courts.
5. In the event the State suffers any losses, damages, liabilities, expenses, or costs (including, by way of example only, attorneys' fees and disbursements) that are attributable, in whole or in part to any failure by the OFFEROR or any employee or agent of the OFFEROR to comply with the requirements of this Agreement, OFFEROR and such employees and agents of OFFEROR shall hold harmless and indemnify the State from and against any such losses, damages, liabilities, expenses, and/or costs.
6. This Agreement shall be governed by the laws of the State of Maryland.
7. OFFEROR acknowledges that pursuant to Section 11-205.1 of the State Finance and Procurement Article of the Annotated Code of Maryland, a person may not willfully make a false or fraudulent statement or representation of a material fact in connection with a procurement contract. Persons making such statements are guilty of a felony and on conviction subject to a fine of not more than \$20,000 and/or imprisonment not exceeding 5 years or both. OFFEROR further acknowledges that this Agreement is a statement made in connection with a procurement contract.
8. The individual signing below warrants and represents that they are fully authorized to bind the OFFEROR to the terms and conditions specified in this Agreement. If signed below by an individual employee or agent of the OFFEROR under Section 2 of this Agreement, such individual acknowledges that a failure to comply with the requirements specified in this Agreement may result in personal liability.

OFFEROR: \_\_\_\_\_ BY: \_\_\_\_\_

NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

SUBMIT AS REQUIRED IN SECTION 1.7 OF THE TORFP

## ATTACHMENT 11 – NON-DISCLOSURE AGREEMENT (TO CONTRACTOR)

**THIS NON-DISCLOSURE AGREEMENT** (“Agreement”) is made as of this \_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_, by and between the State of Maryland (“the State”), acting by and through its Department of Labor, Licensing and Regulation (DLLR) (the “Department”), and \_\_\_\_\_ (“TO Contractor”), a corporation with its principal business office located at \_\_\_\_\_ and its principal office in Maryland located at \_\_\_\_\_.

### RECITALS

**WHEREAS**, the TO Contractor has been awarded a Task Order Agreement (the “TO Agreement”) for DLLR MIDAS Migration TORFP No. **P00P6202921** dated **release date for TORFP**, (the “TORFP”) issued under the Consulting and Technical Services procurement issued by the Department, Project Number 050R5800338; and

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

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

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

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

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

**Department of Labor, Licensing and Regulation:**

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

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

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

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

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

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

SUBMIT AS REQUIRED IN SECTION 1.7 OF THE TORFP

**EXHIBIT A**  
**TO CONTRACTOR'S EMPLOYEES AND AGENTS WHO WILL BE**  
**GIVEN ACCESS TO THE CONFIDENTIAL INFORMATION**

Printed Name and Address  
of Employee or Agent

Signature

Date

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## ATTACHMENT 12 – OVERVIEW OF MIDAS II

### • **MIDAS II OVERVIEW:**

MIDAS II (Managed Images and Data Access System) is an image-based document and data capture management system. The image files are indexed and stored for future retrievals.

MIDAS II is a system developed by Enterprise III Systems Inc. It is designed to capture the Maryland unemployment insurance employer tax forms, unemployment claim forms and related data, using 32 bit commercial off the shelf software.

#### **The goals of the upgrade are:**

- To provide at least the same functionality as the current environment with new technology.
- To upgrade the system from 16 bit to 32 bit.
- To provide a fully Y2K compliant system.

### • **FUNCTIONS:**

#### **MIDAS II performs four primary functions using four software applications:**

- **Captiva Form Ware**
  - Image / Data Capture
- **Eastman Software**
  - Automatic Workflow & Document Routing
  - Document Retrieval
- **OTG Disk Xtender**
  - Image and Jukebox management
- **Spicer Viewer**
  - Image display, annotation, print, fax and email

### • **COMPONENTS:**

The major components to the system:



- **Forms capture and recognition:** The forms will be scanned on Kodak 5500D scanners using Input Software's InputAccel product. It will be the backbone of the entire capture process. Captiva Formware processes the tax form information passed from Input Accel. Information from the images will be extracted into files, which will serve as input to workflow, the employer tax and employee wage mainframe files, and the Oracle database on the Sun server. MIDAS II will also receive faxed images and correspondence.
- **Workflow processing and retrieval:** The HP optical jukebox will ultimately store forms that are finished processing. Forms with exceptions are sent to workflow. An example of an exception is a form with a mark in the address change box or closed account box. Exception transactions go through the workflow process for resolution. After they are resolved, the images are stored on the jukebox and associated changes are made to the database. For general retrieval, users use the same workflow client.
- **DBMS:** Data is stored in an Oracle database (8.15) on a Sun Enterprise 3500 server.

- **Image Capture:**

MIDAS II receives images from two sources:

- Scanners
- Fax

A. Scanners

The scanners capture electronic images of one-sided or two-sided documents. Once the scanner has processed a batch of forms, the images for that batch are stored in the electronic files of MIDAS II. From this point on, the paper is set aside, and MIDAS II manages the electronic images of the documents.

B. Fax

MIDAS II provides both inbound and outbound faxing. Inbound faxing provides captured images to MIDAS II in much the same way as the scanners.

- **Workflow and document routing:**

Documents with exceptions are automatically sent to workflow for processing. In addition, any form a user overrides during forms processing is sent to workflow.

- **Document Retrieval:**

**In general, documents are retrieved from MIDAS II by specifying the Maryland unemployment insurance Employer Account Number and**

**the document type. Five DEED forms can be retrieved using other indexes. They are:**

- **Form 15/17 Retrieval**

**Form 15/17, the Quarterly Contribution Report, is retrieved using the following indexes:**

Doc ID

**Employer Account Number**

**Quarter year**

FEIN Number

- **Form 16/18 Retrieval**

**Form 16/18, the Quarterly Employment Report, is retrieved using the following indexes:**

**Doc ID**

**Employer Account Number**

**Quarter year**

- **Form W4 Retrieval**

**Form W4, the claimant withholding form, is retrieved using the following index:**

**Social Security Number**

- **ST 705 Retrieval**

**ST 705, Combined Registration Application, is retrieved using the following indexes:**

**Doc ID**

**Employer Account Number**

**Central Registration Number**

- **Bank Batch Retrieval**

**Bank batches are retrieved using the following indexes:**

**Batch name**

**Batch date**

**16.1.1.1.1 MIDAS II Workflow/Retrieval Application:**

**To execute the Workflow/retrieval application, Double-Click on the Workflow Desktop icon on the desktop. The Log In dialog box displayed below will appear. To log in follow**

**these steps:**

**Enter a UserName.**

1. Enter a Password.
2. Click OK

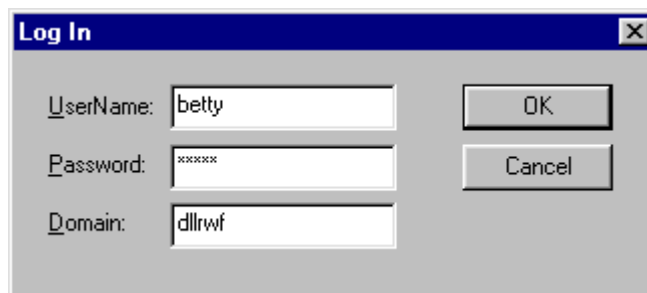
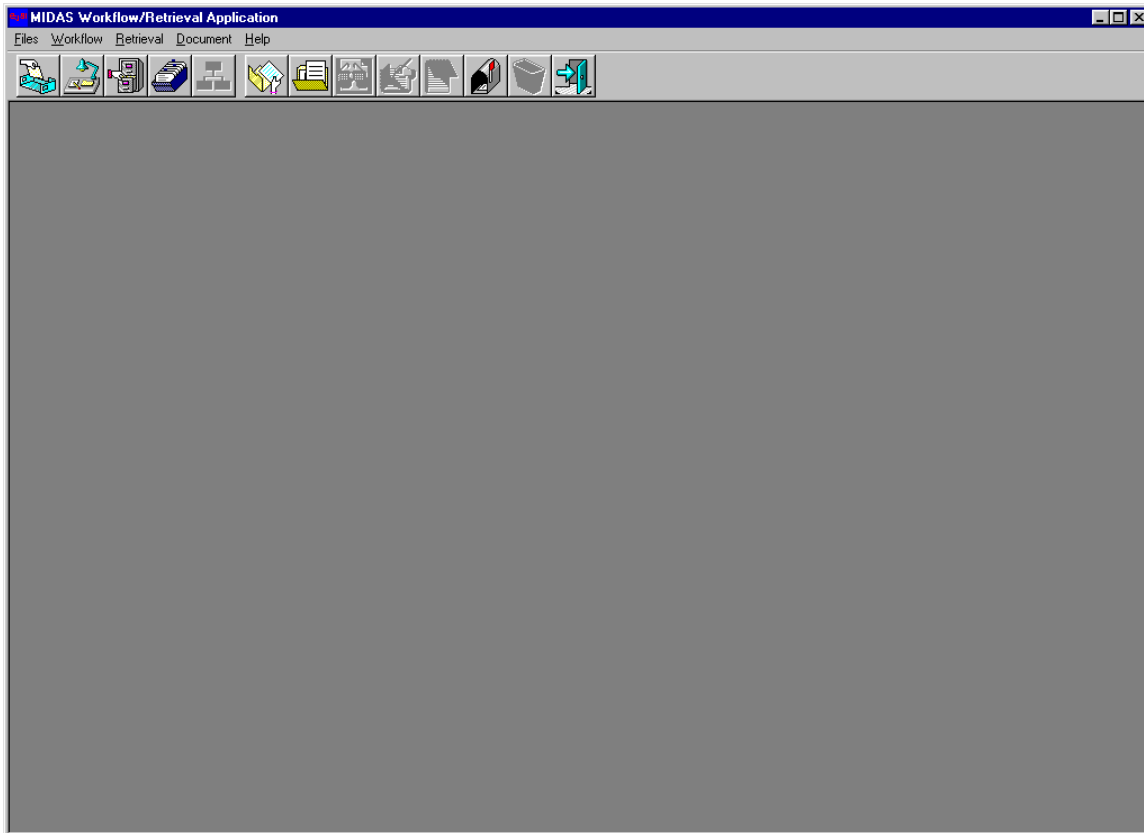


Figure 1

If the user has supplied valid information for log in, the system will display the main screen shown on the following page. If an error occurs, correct the username or password and **Click OK** again.

**MIDAS II Workflow/Retrieval Application:**



**Figure 2: MIDAS II Workflow Retrieval Application**

**Upon successful login, this screen will appear. Each icon displayed on the toolbar represents a function that can be performed in the application.**

**A description of the functions will follow.**

### **Inbox:**

The first icon is the Workflow Inbox. This function provides the user with access to documents that are in the Workflow queues . Users process workflow items by taking them from the queue and placing them on their personal workflow desktop. From the InBox, documents can be retrieved by selecting the appropriate queues.

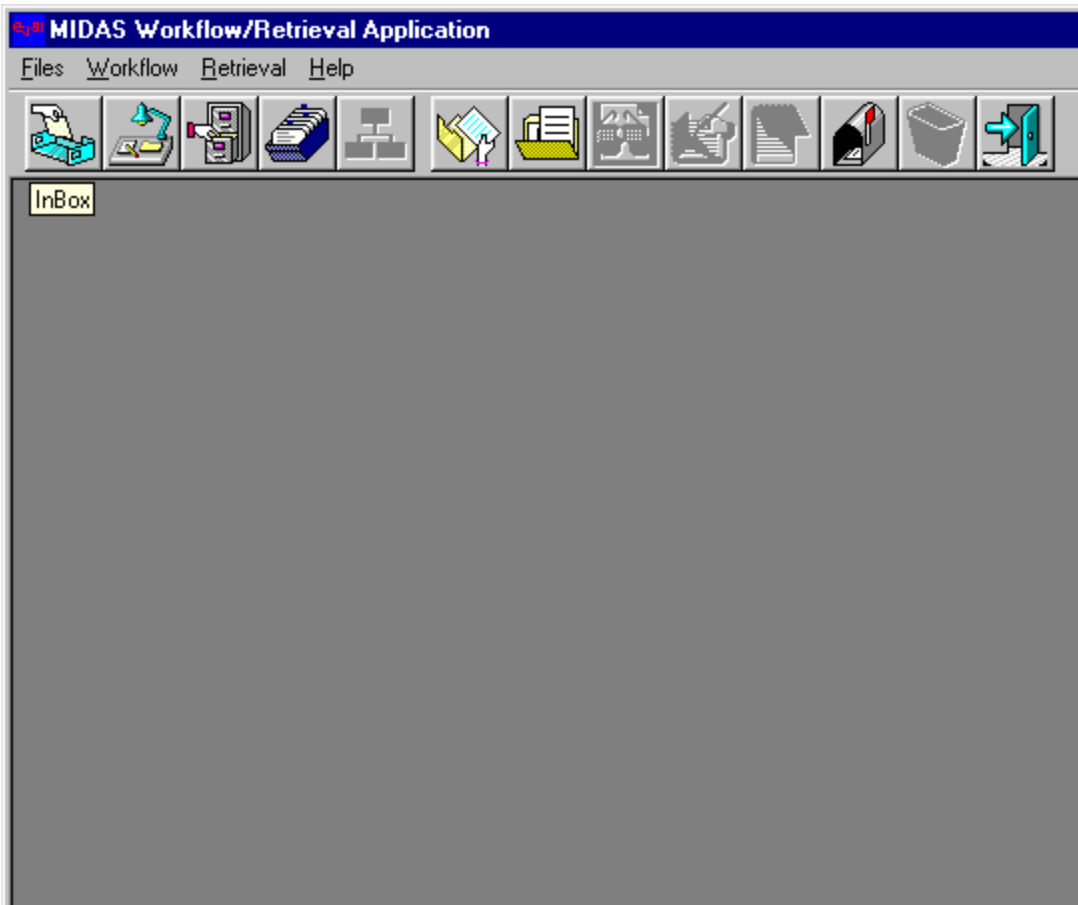


Figure 3: Inbox

- **Click** on the Inbox icon.
- This will open the Queue Basket, illustrated on the next page. From the list of workflow queues, the user will select the queue to access.

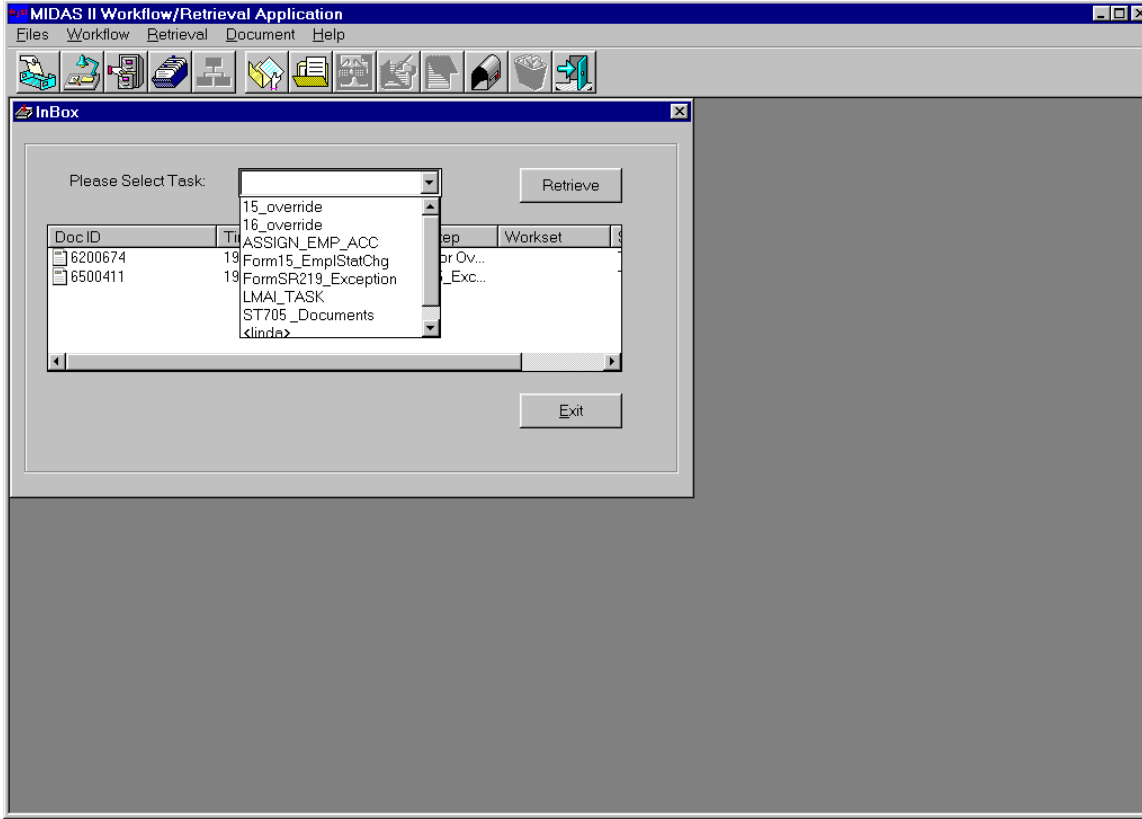


Figure 4: InBox

The InBox displays the Workflow queues that contain work waiting to be processed. Users select workflow items to process from the InBox. Workflow items in the queues are available for any user with access privileges to retrieve and process. Users process workflow items by taking them from the queue and placing them on their personal workflow desktop. The retrieve button on the screen is used to move the selected items from the queue to the user’s desktop. When a workflow item has been retrieved and placed on the user’s desktop, it is no longer listed in the queue.

For example, a 15 Form that requires a change in employer information appears in the Form 15\_EmplStatChg queue.

- **Click** on the drop-down list, next to the **‘Please Select Task’** statement.

The queues will display in the drop-down list as shown in Figure 4. The InBox lists the types of workflow exceptions that can be processed. Documents that have been routed to the user from another user reside in the mailbox. This is the last item in the list shown as <username>.

- Highlight one or more items in the list and **Click** on the **Retrieve** button to move the selected items from the queue to the user’s desktop.
- **Click** on the **Exit** button to return to the general workflow/retrieval screen.

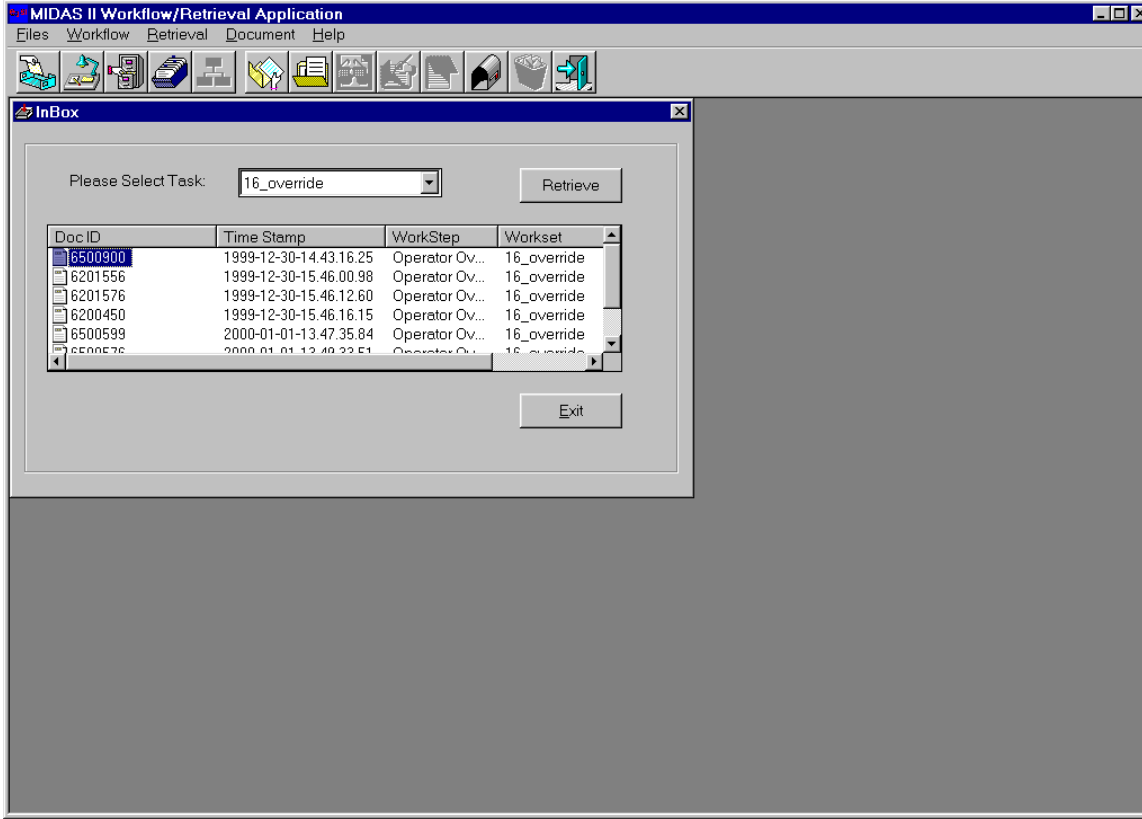


Figure 5: InBox

### Single Item Retrieval:

- **Click** the Form 15 Queue by selecting it from **Select Task** drop-down menu. When a queue has been selected, the workflow item(s) that are in that queue are automatically displayed in the window, as shown in the illustration above.
- **Double-Click** on the item to be moved to the Desktop
- **Click** on **Retrieve**. This will release the selected item from the queue to the user's desktop. When a workflow item has been retrieved and placed on the user's desktop, it is no longer listed in the queue.
- **Click** on **Exit**. This will return the user to the general workflow/retrieval screen.

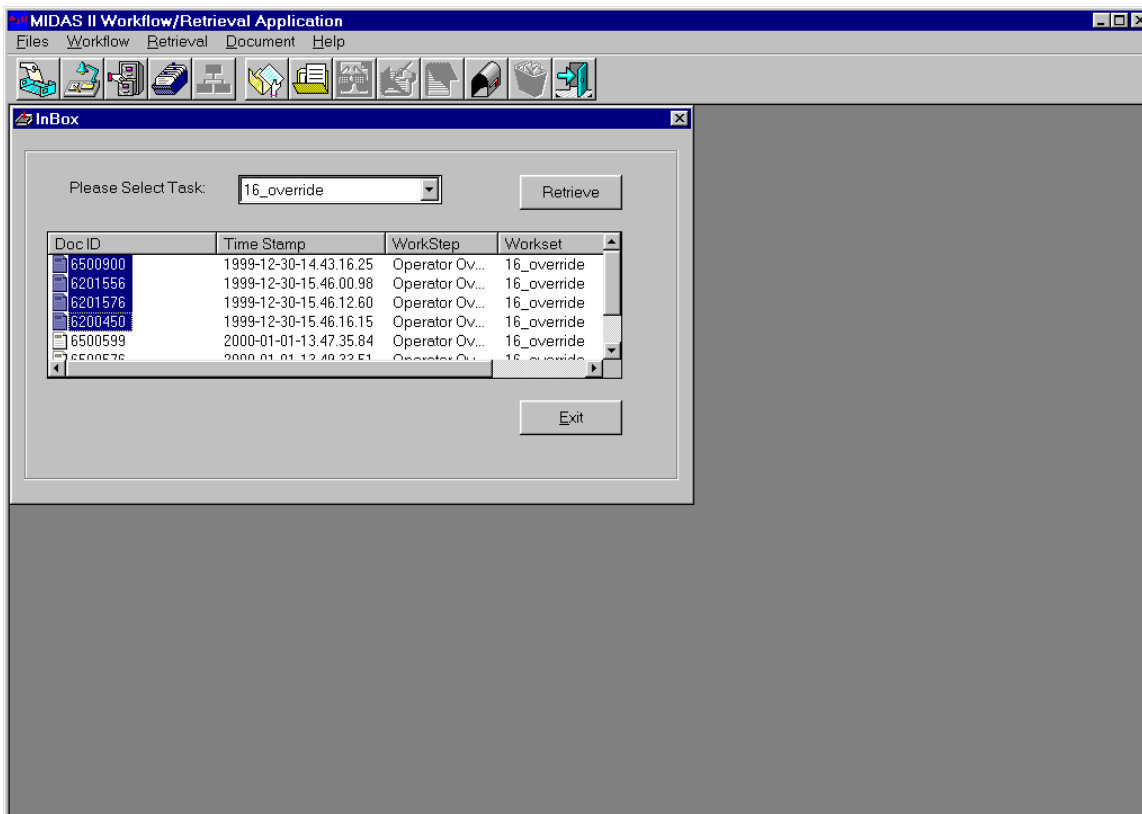


Figure 6: InBox

### **Multiple Item Retrieval:**

Multiple items can also be moved to the Desktop.

- Press and hold **Shift** and **Click** on the items to be moved to the Desktop.
- **Click** on the **Retrieve** button. The workflow items that have been retrieved and placed on the user's desktop are no longer listed in the queue.

### **Desktop:**



**THE SECOND FUNCTION ON THE TOOLBAR IS THE DESKTOP. THIS FUNCTION PROVIDES USER ACCESS TO THE WORKFLOW ITEMS THAT HAVE BEEN MOVED TO THE DESKTOP FROM THE INBOX. USERS CAN PROCESS THE WORKFLOW ITEMS BY TAKING THEM FROM THE QUEUE AND PLACING THEM ON THEIR PERSONAL WORKFLOW DESKTOP. WHEN THE USER CLICKS ON THE DESKTOP ICON, IT SHOWS A LIST OF FORMS. THE USER WILL SELECT THE REQUIRED FORM DEPENDING ON THE WORK.**



Figure 7: Desktop

- **Click** on the **Desktop** icon. This will show a list of forms.
- **Click** on the required form depending on the work.
- If you want to work on **Form 15\_Exceptions**, select **OUI 15 document**.
- If you want to work on **Form 219\_Exceptions**, select **Deed SR 219**.
- If you want to work on **705 document**, select **Deed ST 705**.
- If you want to work on **Operator Override**, select **Operator Override** document

For this example, **Click OUI 15 document.**

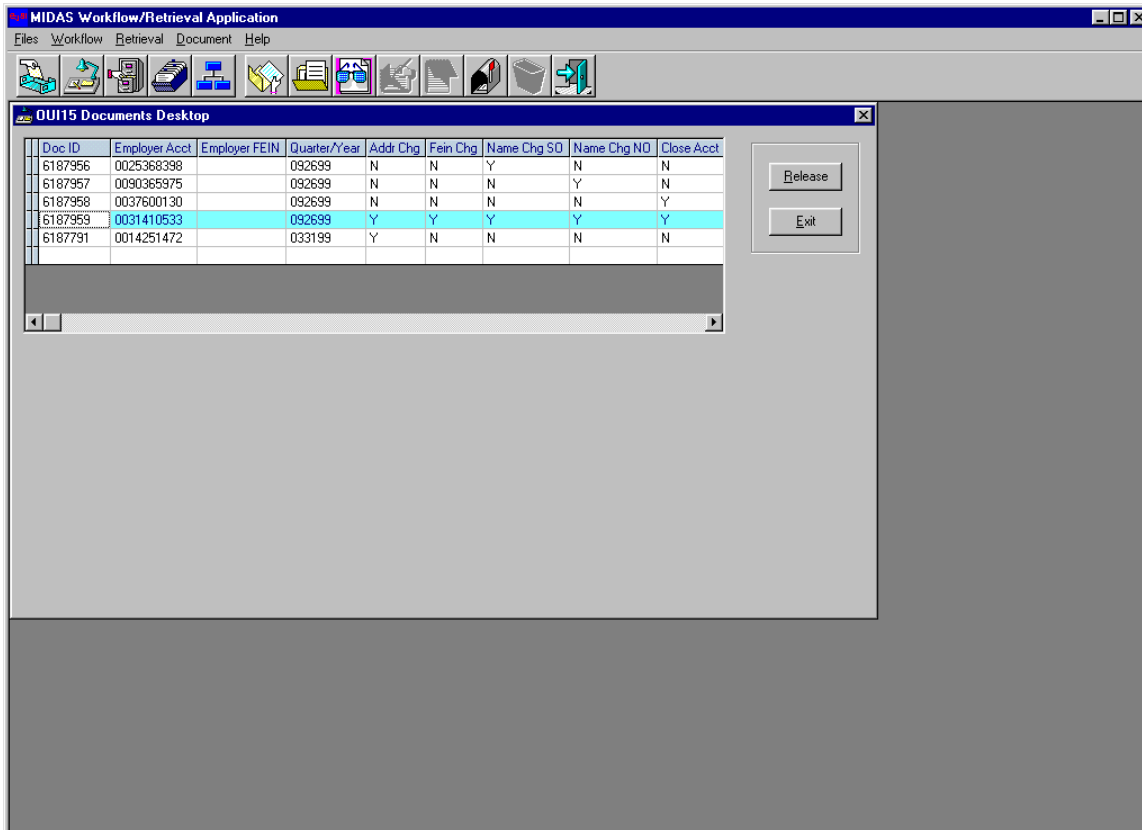


Figure 8: Desktop

The selected items are now in the desktop as shown in the above screen.

The screen shows each workflow item by Doc ID

Employer Acct number

Employer FEIN

Quarter Year

The next five columns display 'Y' or 'N' according to the type of exception on the item.

'Y' means there is an exception for that item, such as Name Change.

'N' means there is no exception for that item.

In the above example, Employer Number 0031410533 has five exceptions.

- To display an item in the Desktop, first select it and then **Double-Click** on the item. An example is shown on the following page.

- The **Release** button will remove the item from the Desktop after making the required changes, or, if you choose, return it to the queue without making changes.
- The **Exit** button is used to exit the desktop.

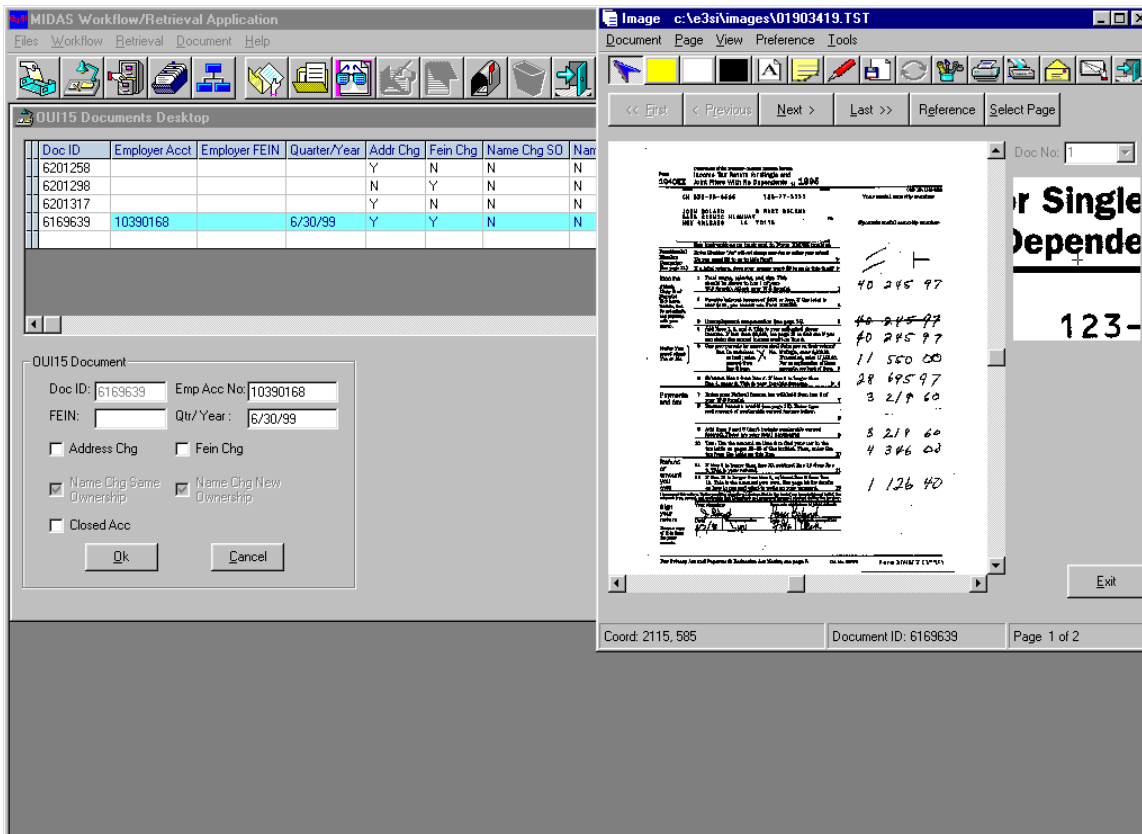


Figure 9: Desktop

**To process a workflow item:**

- To process a workflow item, select the required item and **Double-Click**. This will display the selected item and the image.  
In the above example, Employer Number 10390168 has three exceptions,
  - > **ADDRESS CHANGE**
    - > Fein change
    - > Closed Account

- Note the exceptions for the item. Access the mainframe and process the exceptions. When the exceptions have been processed, return to the workflow **SCREEN AND CLICK THE BOX NEXT TO THE EXCEPTIONS COMPLETED.**

Click on the **OK** button to process the changes.

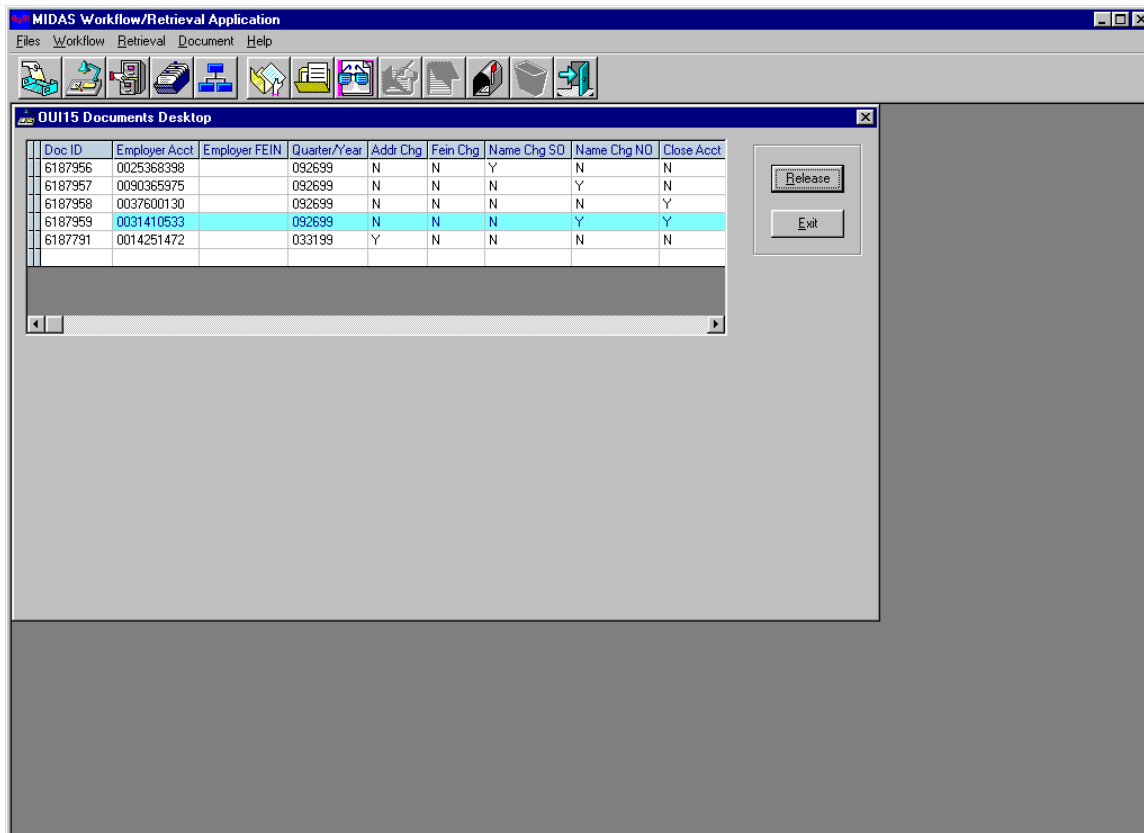


Figure 10: Desktop

- The above example shows five exceptions have been completed for employer # 0031410533.
- **Click** on the **Release** button. This will release that item from the desktop.

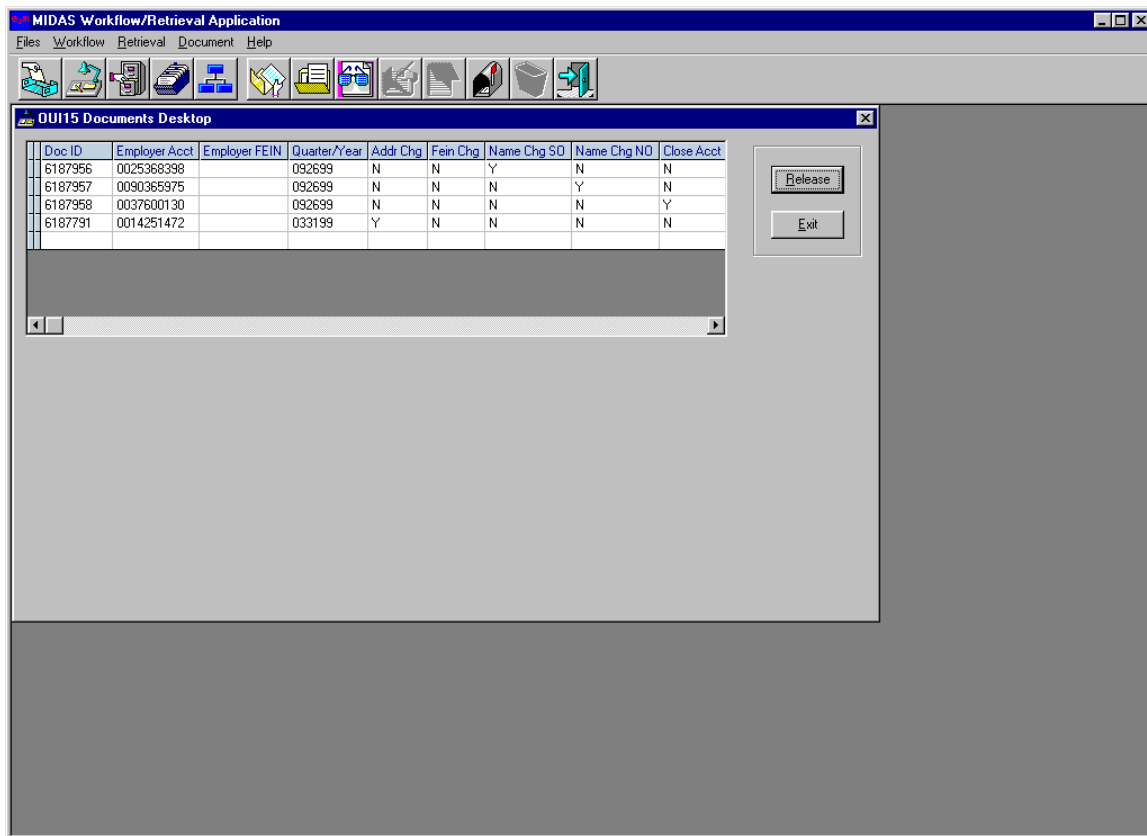


Figure 11: Desktop

- This shows the document after the Release Button is clicked. The item is no longer in the desktop and is available for retrieval. Only the items that still have exceptions to be processed remain in the desktop.

## Workflow Routing:

In the Workflow Desktop mode, there is another function called Workflow Routing. This function allows the user to route the workflow items to another user.

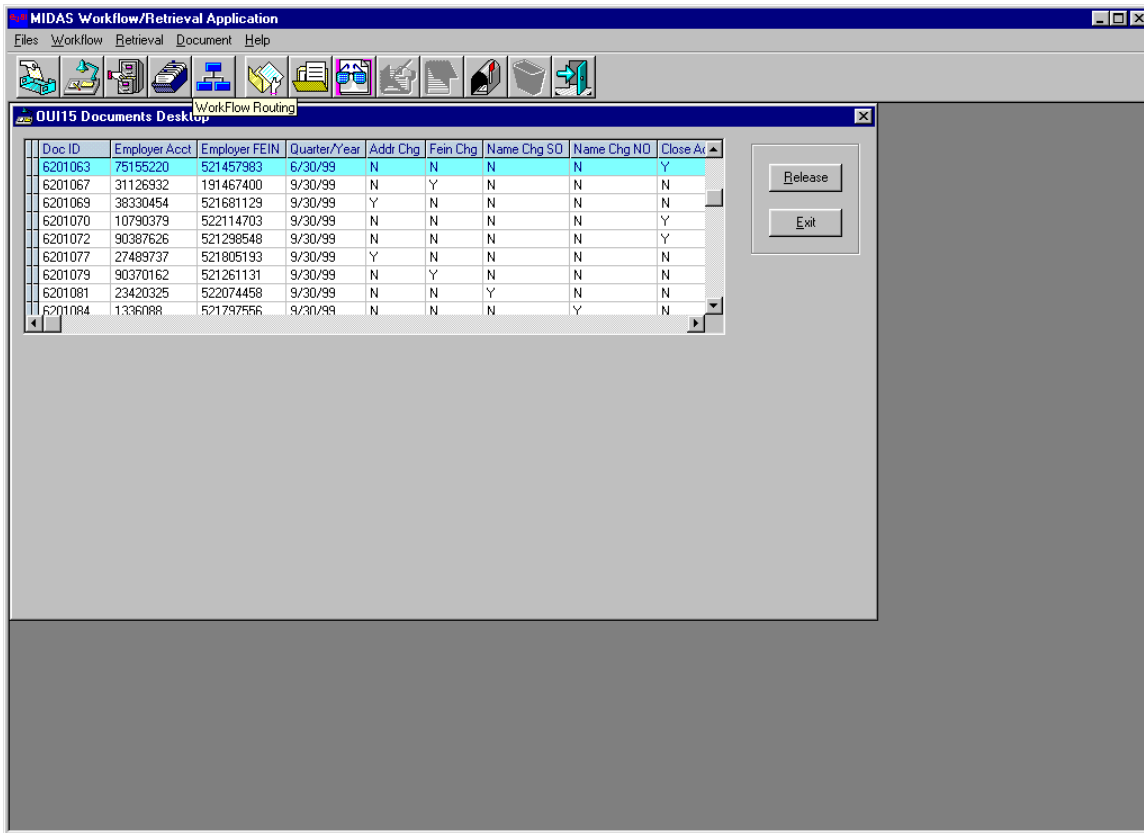


Figure 12: Workflow Routing

- **Click** on the item or the user can route multiple items by holding the **Shift** key and then **Click** on the items.
- **Click** on the workflow routing icon on the toolbar as shown above. This will display the document route window as shown on the next page.

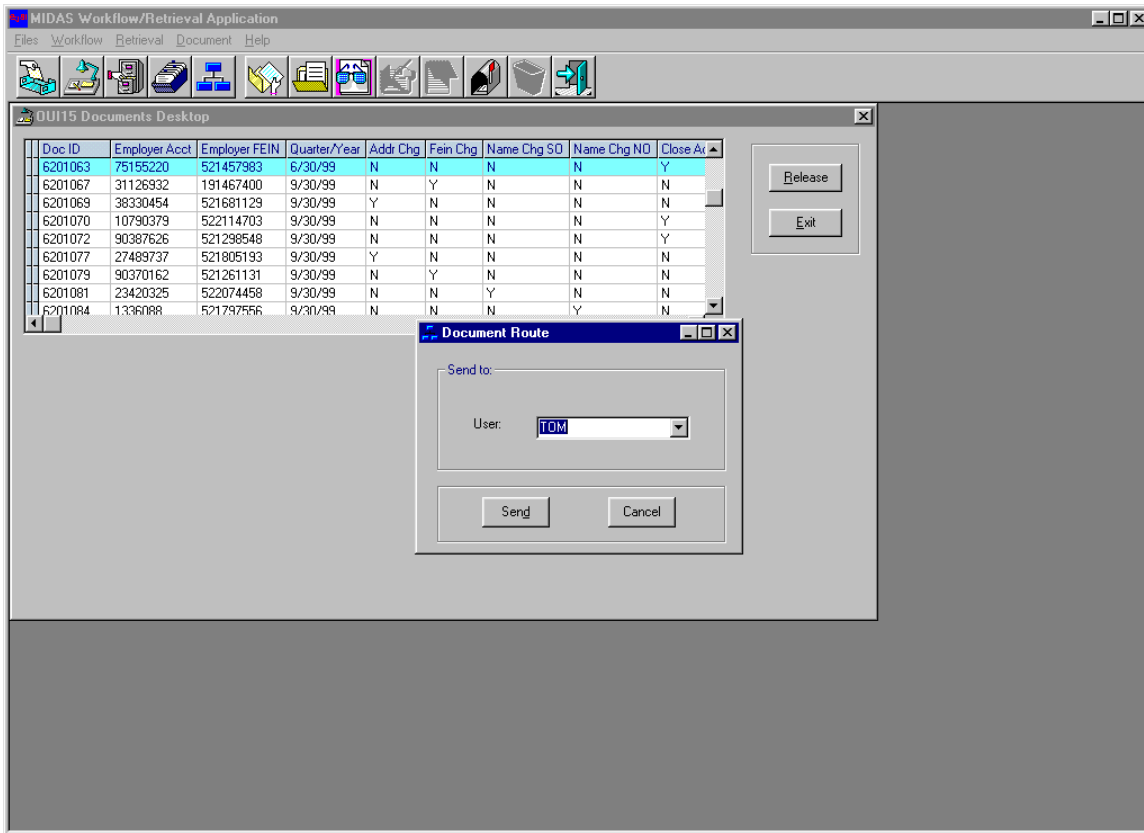


Figure 13: Workflow Routing

- **Select** the user from the drop-down list of users.
- **Click** Send. This will route the document to the specified user.

## File Cabinet:

The third function on the toolbar is the File Cabinet. This function provides the user with access to any workflow item in the system if the user does not know the Doc ID or the Employer account number. It shows the current status of the item in workflow.

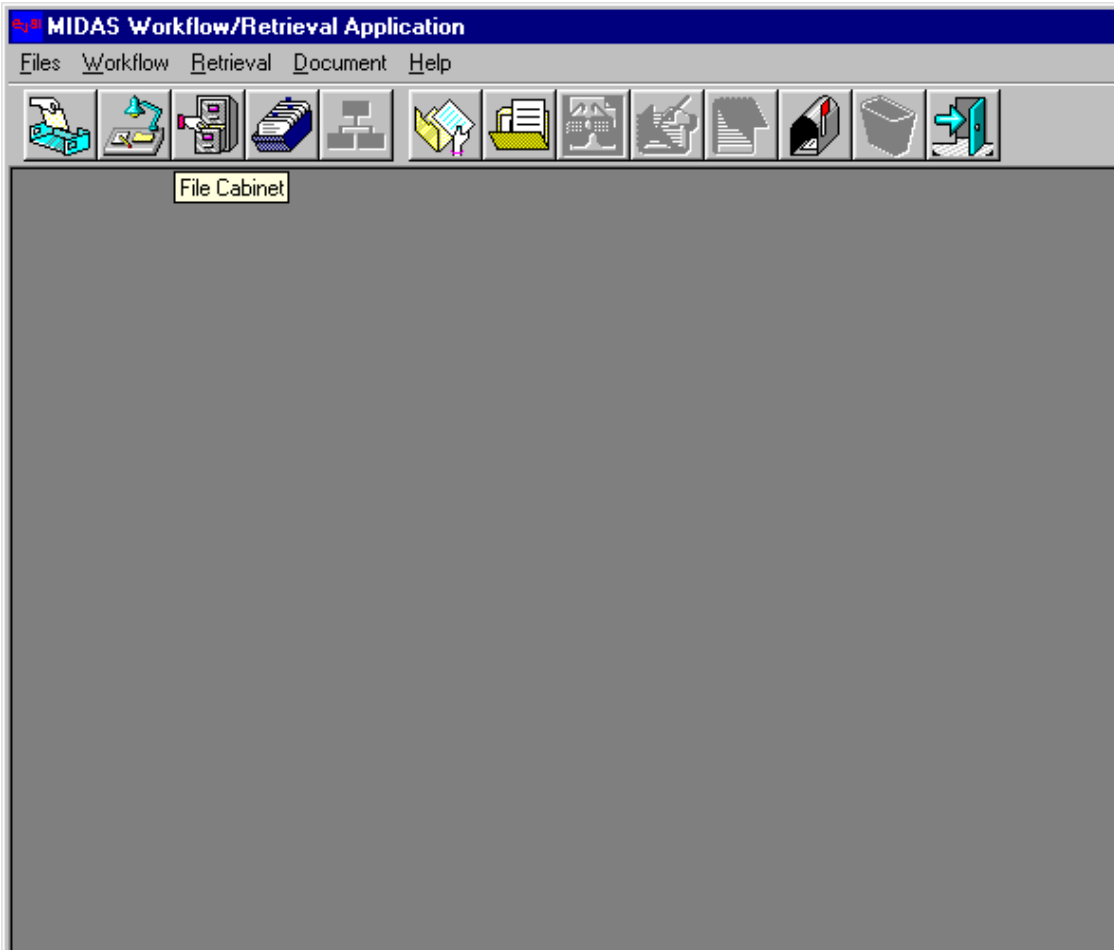


Figure 14: File Cabinet

- **Click** on the File Cabinet icon on the tool bar.
- This will open the File Cabinet as shown on the next page



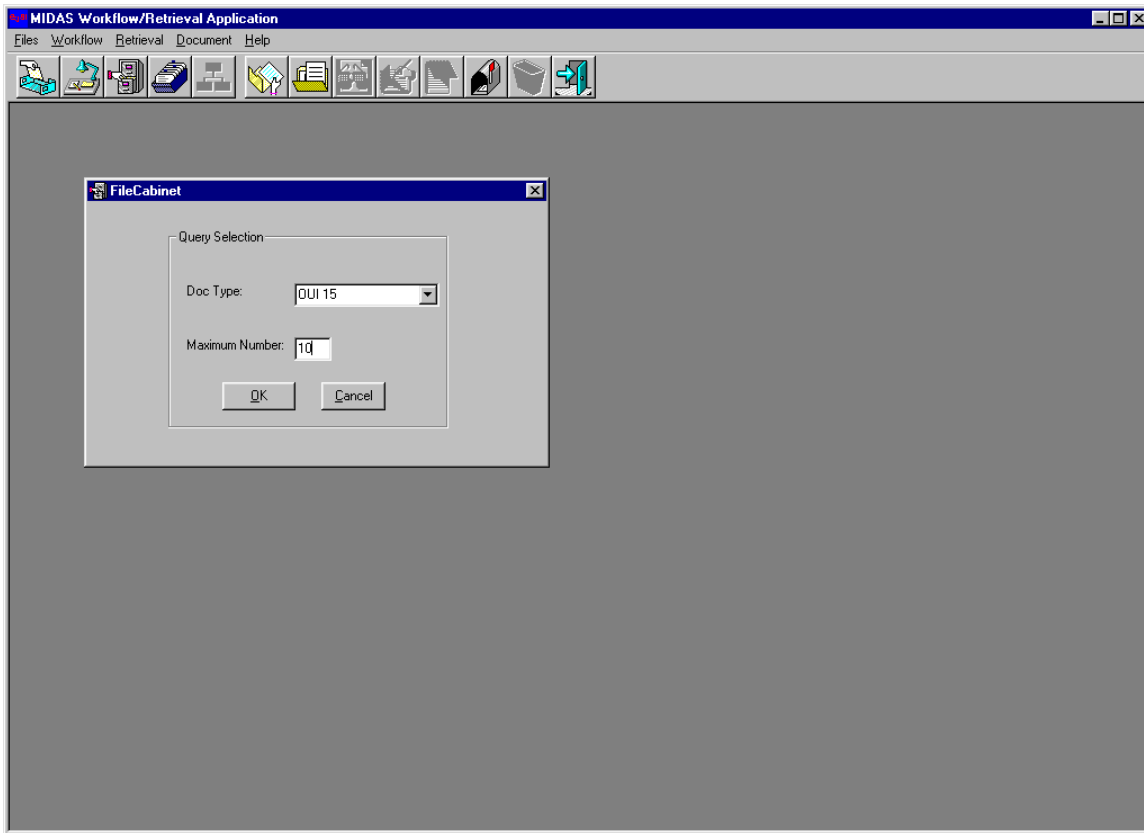


Figure 15: File Cabinet

- **Select** the Document Type from the pull-down menu. The method is the same for all document types. In this example, **Click** OUI 15 Document.
- Enter the maximum number of items to be displayed in Maximum Number field. If the field is blank, up to 100 items are displayed.
- **Click OK.** This will open the screen as shown on the next page.

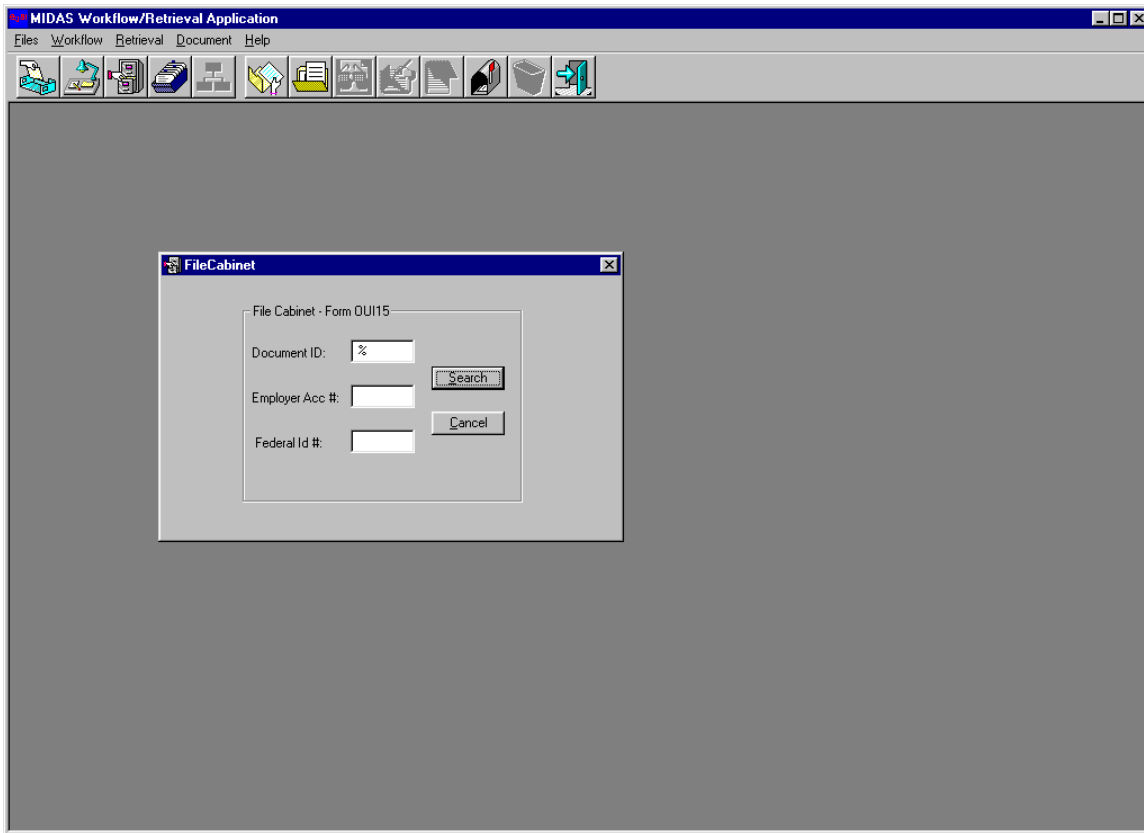


Figure 16: File Cabinet

- In the File cabinet screen, there are fields for Document ID  
Employer account Number  
Federal ID
- The user can enter the Document ID, Employer account number or Federal ID.  
Or the user can enter % sign in any of the fields, as shown above.
- **Click** Search. This will display all the items up to the maximum number specified as shown in the next page.

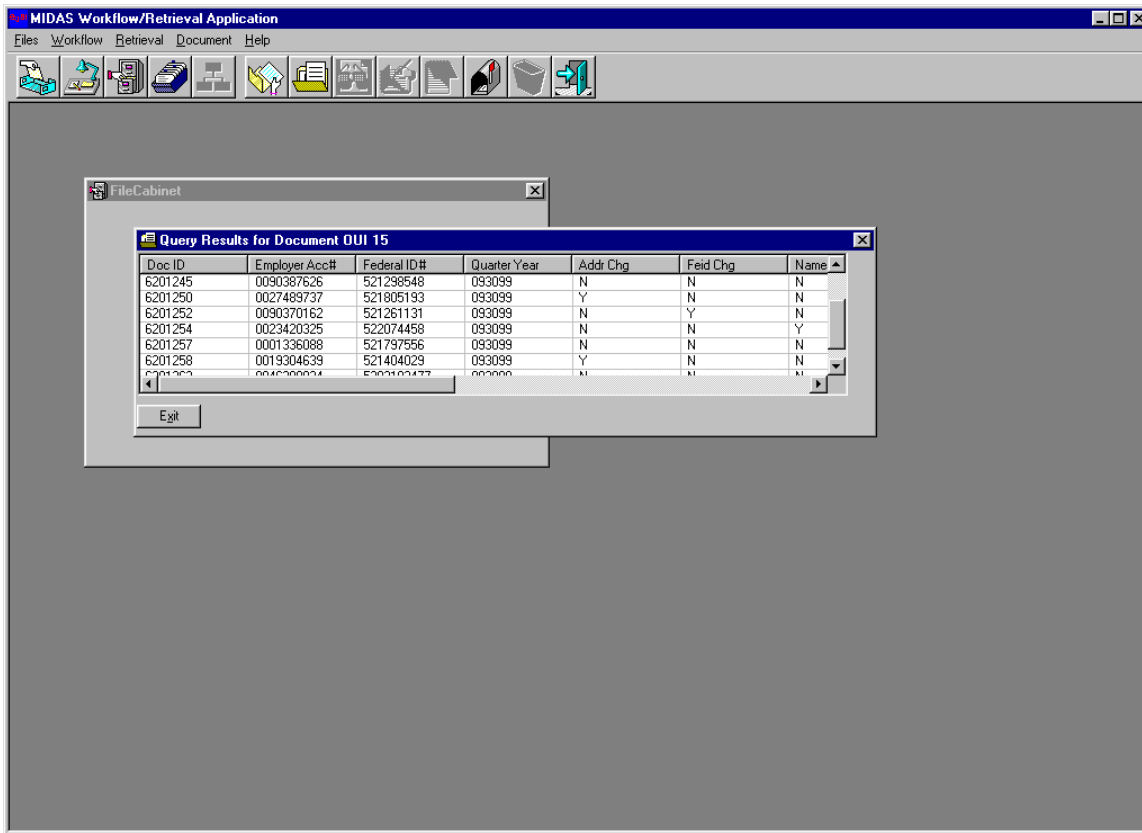


Figure 17: File Cabinet

- The above screen shows the results of File Cabinet.
- The user can view the status of the item in workflow, the user name, the time and also the Doc ID, Employer Account Number, Federal ID and other index fields.

## Workflow History:

The fourth function on the tool bar is Workflow History. This function allows the user to view the history of the workflow item. The user can view the time of the tasks performed and the user name. The user can also view the source and the destination of the workflow item.

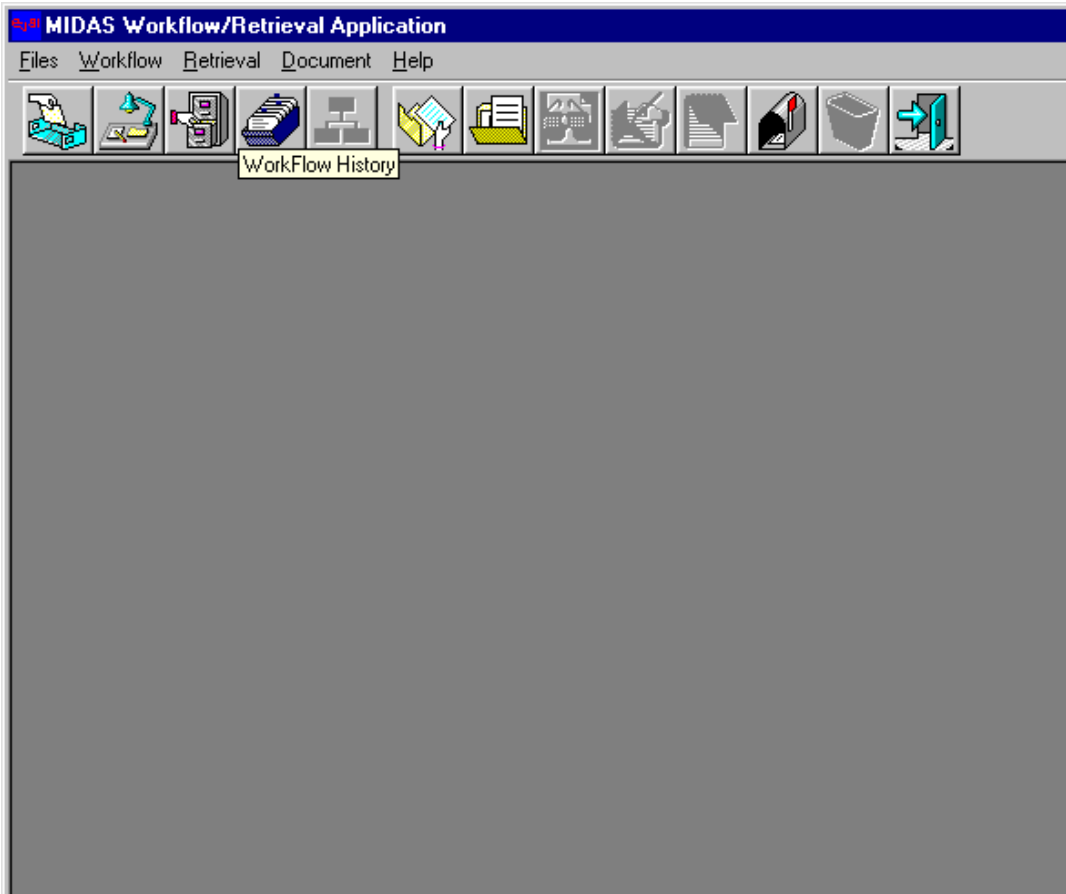


Figure 18: Workflow History

- **Click** on the Workflow History icon on the toolbar.
- This will display the Workflow History screen as shown in the next page.

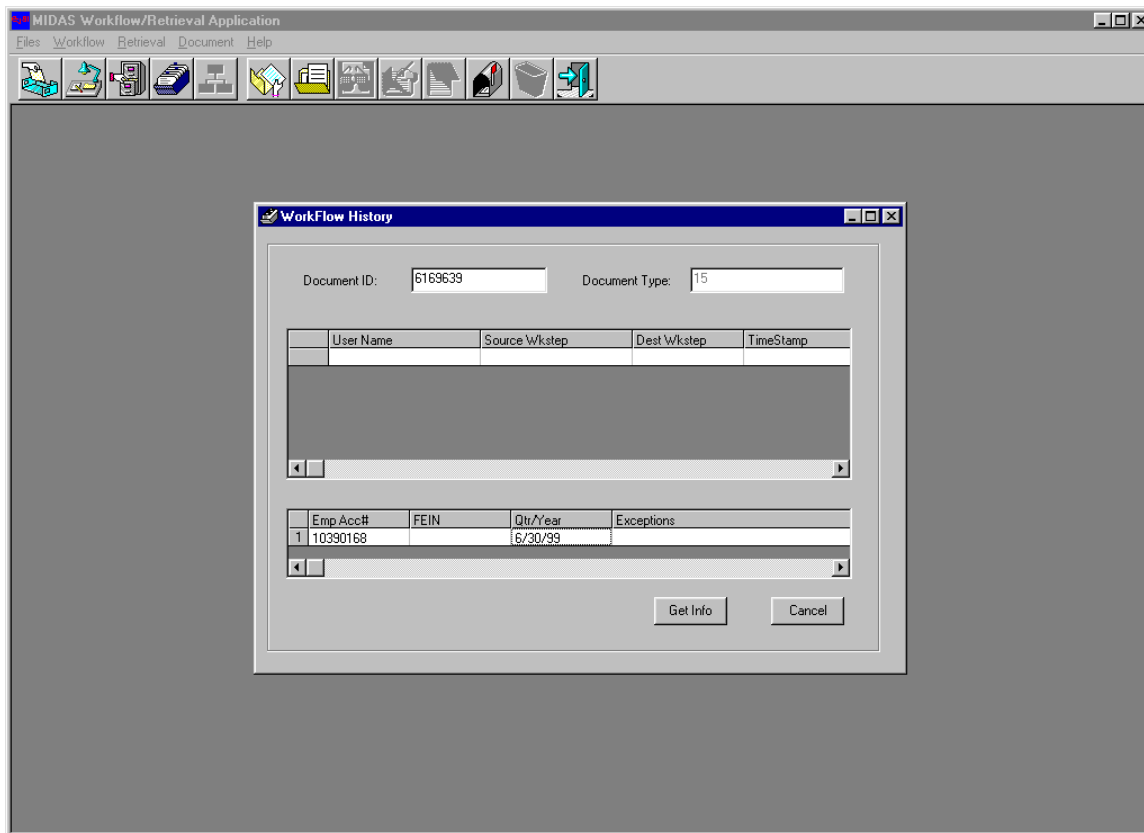


Figure 19: Workflow History

- Enter the Document ID number in the Document ID field.
- **Click** Get Info. This will display the workflow history for that item.
- The above screen shows the workflow history by User Name  
Source Wkstep  
Dest Wkstep  
TimeStamp
- The bottom of the screen shows the Employer Account Number, FEIN, Year and Exceptions for the document in workflow.

## DOCUMENT RETRIEVAL:

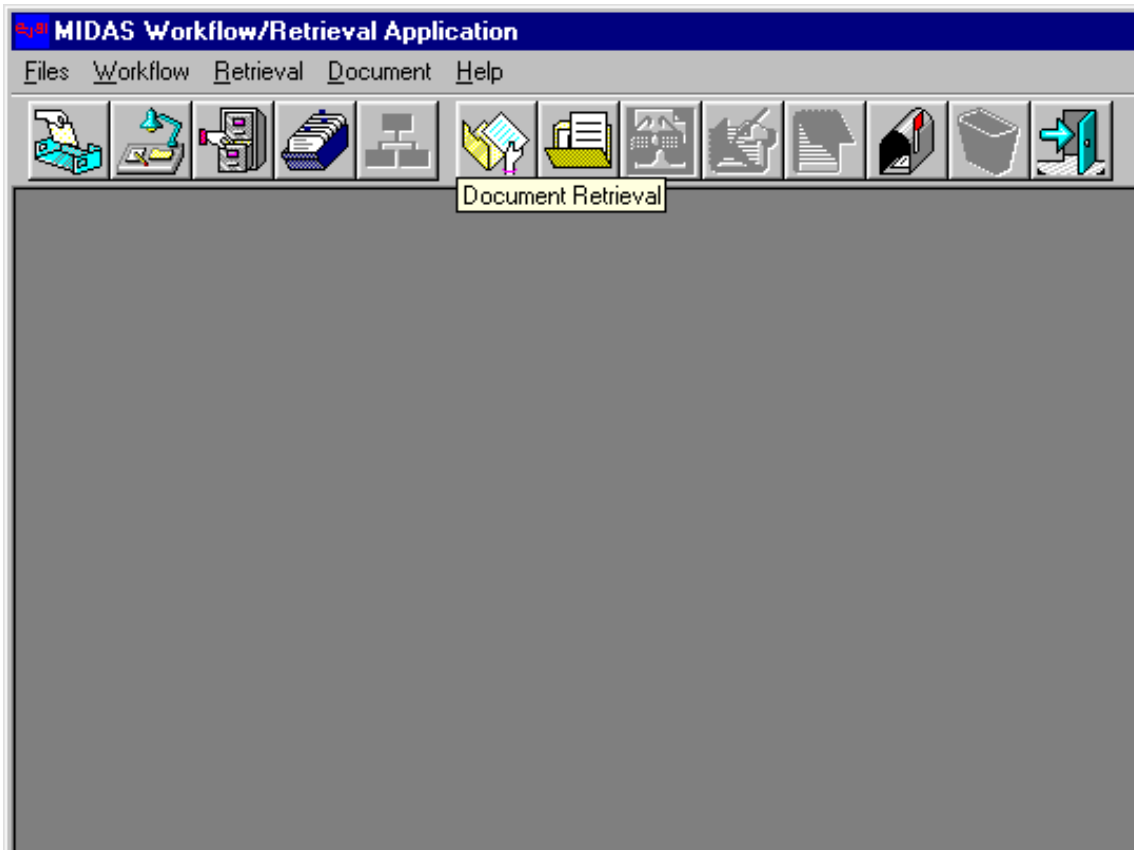


Figure 20: Document Retrieval

## Overview:

The documents scanned into the MIDAS II system are indexed directly into the MIDAS II database. These documents, as well as any others in the MIDAS II database are retrieved using the Document Retrieval function of the MIDAS II Workflow/Retrieval Application.

To activate this function, **Click** on the Document Retrieval icon, as shown above.

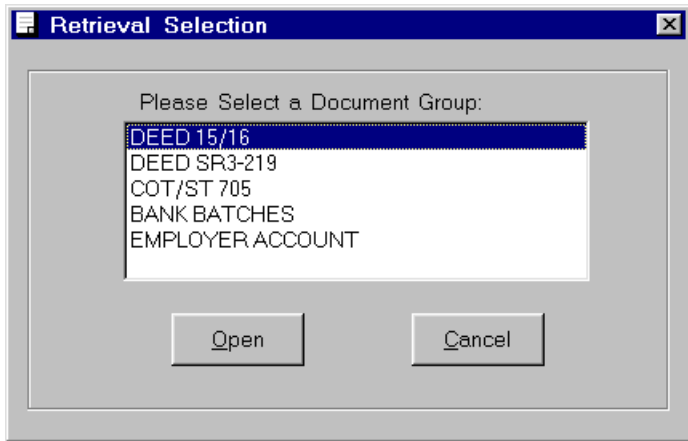


Figure 21: Document Retrieval Screen

After the user **Clicks** on the Document Retrieval icon, the above screen is displayed. There are five document groups, DEED 15/16

DEED SR3-219

COT/ST 705

BANK BATCHES

EMPLOYER ACCOUNT

**Select** a document group from the pull-down menu.

**Click** on the selected group.

**CLICK ON THE OPEN BUTTON.**

**THE PROCEDURE IS THE SAME FOR DEED 15/16**

**DEED SR3-219**

COT/ST 705

BANK BATCHES

The procedure for EMPLOYER ACCOUNT is described later.

- This is an example of DEED 15/16 Retrieval.

## DEED 15/16 RETRIEVAL:

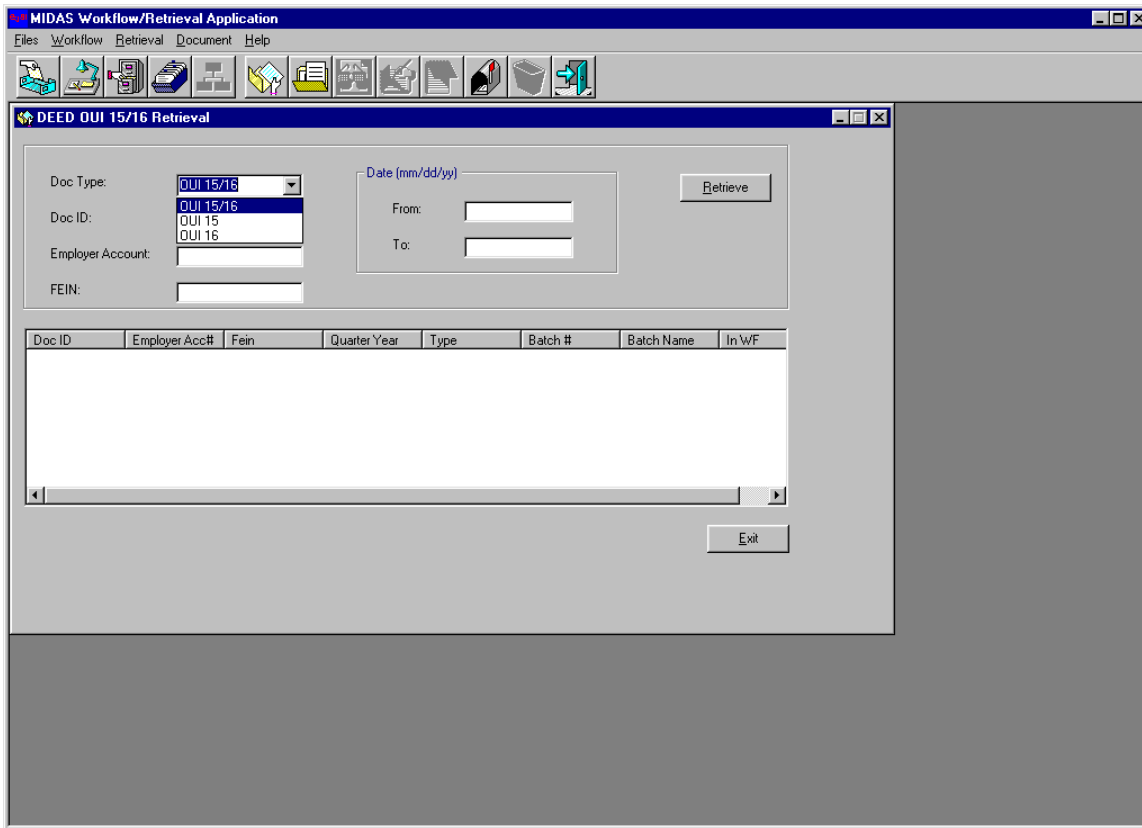


Figure 22: DEED OUI 15/16 Retrieval screen

**SELECT THE DOCUMENT TYPE FROM THE PULL-DOWN MENU.**

**THERE ARE THREE DOCUMENT TYPES, OUI 15/16**

OUI 15

OUI 16

In this example, **Click** OUI 15/16 Document.

**THE SCREEN SHOWS FIELDS FOR DOC ID**

Employer Account number,

FEIN

Date Range (from \_\_\_ / to \_\_\_)

**ENTER DATA INTO ONE OF THE FIELDS. THE REMAINING FIELDS ARE OPTIONAL.**



**CLICK ON THE RETRIEVE BUTTON TO RETRIEVE ITEMS FOR THAT DOCUMENT.**

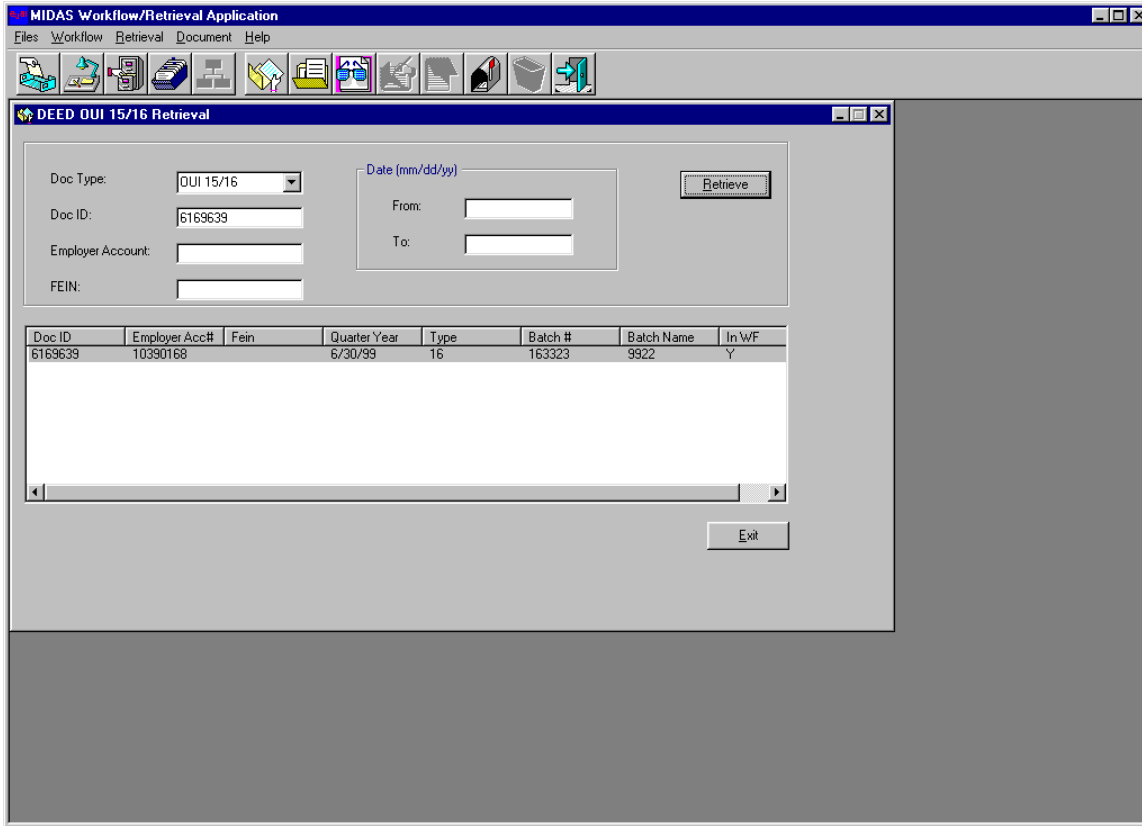


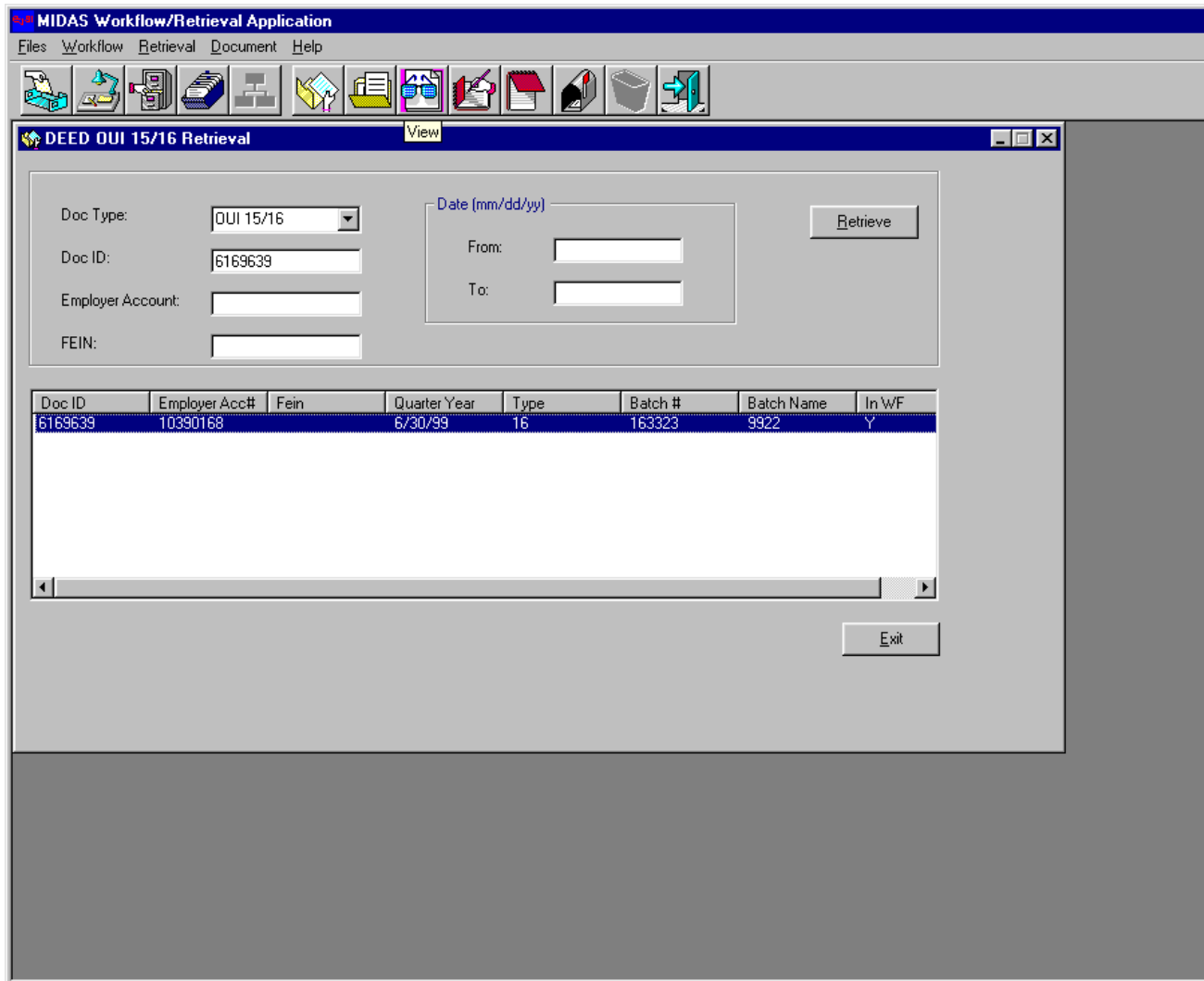
Figure 23: DEED OUI 15/16 Retrieval screen

The above is an example of form 15/16 retrieval

- Enter the Doc ID number
- Using the TAB key, move to the other index fields. Data entry for these fields is optional.
- You have the option to enter either the Employer Account Number, FEIN, Docid or the Date range. Other fields are optional, as long as one field contains an entry.
- **Click** on the **Retrieve** button. This will show the list of documents that meet the retrieval criteria, as shown above.

**View:**

View is a function in the Document Retrieval mode. This function enables the user to view an image of the document that is retrieved. The user may also make image annotations to highlight an area, add a note, add in-line text, add a line, whiteout or black-out an area.



**Figure 24: View**

- There are two methods to view the document.
- The first method is to **Double-Click** the document in the document list.
- The second method is to first select the document from the document list and then to **Click** on the **View** icon on the toolbar as shown above.

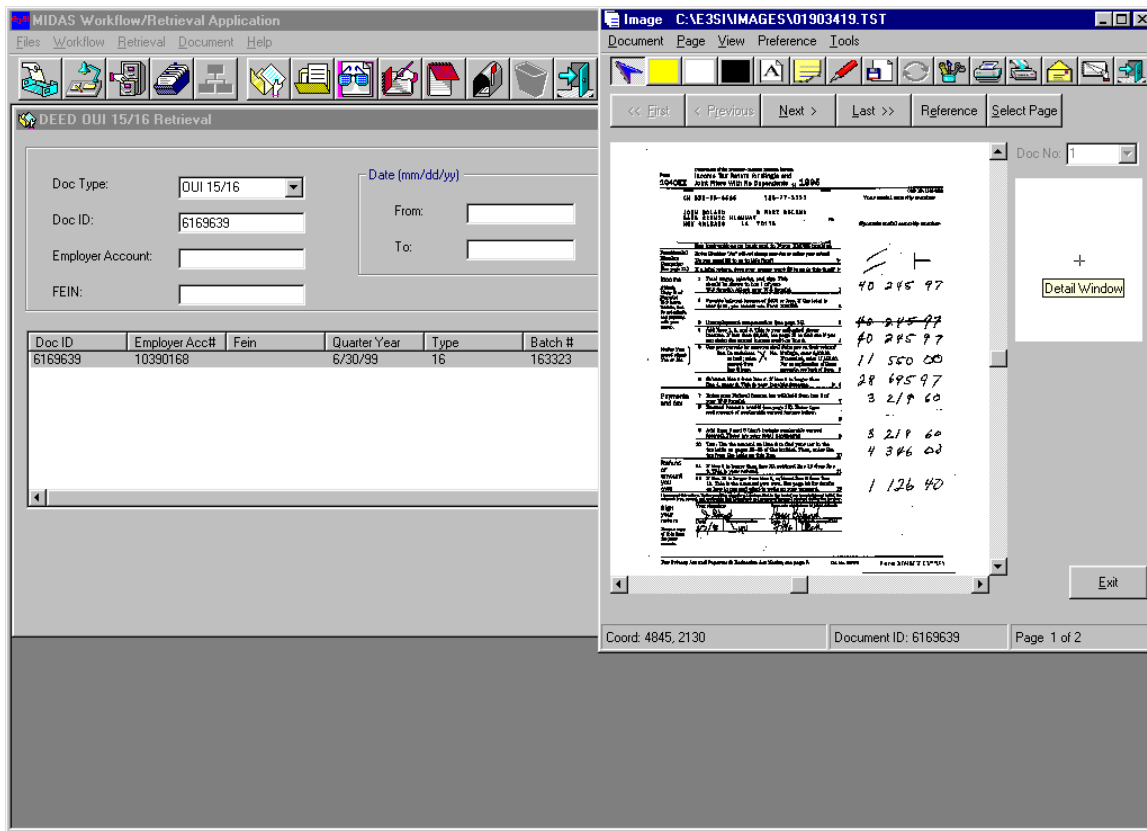


Figure 25: Image display screen

- When the user **Clicks** the View icon, the image window is displayed.
- This function enables the user to view an image of the document.
- **Click** on the **Exit** button on the image display screen. This will get the user back to the document retrieval screen.

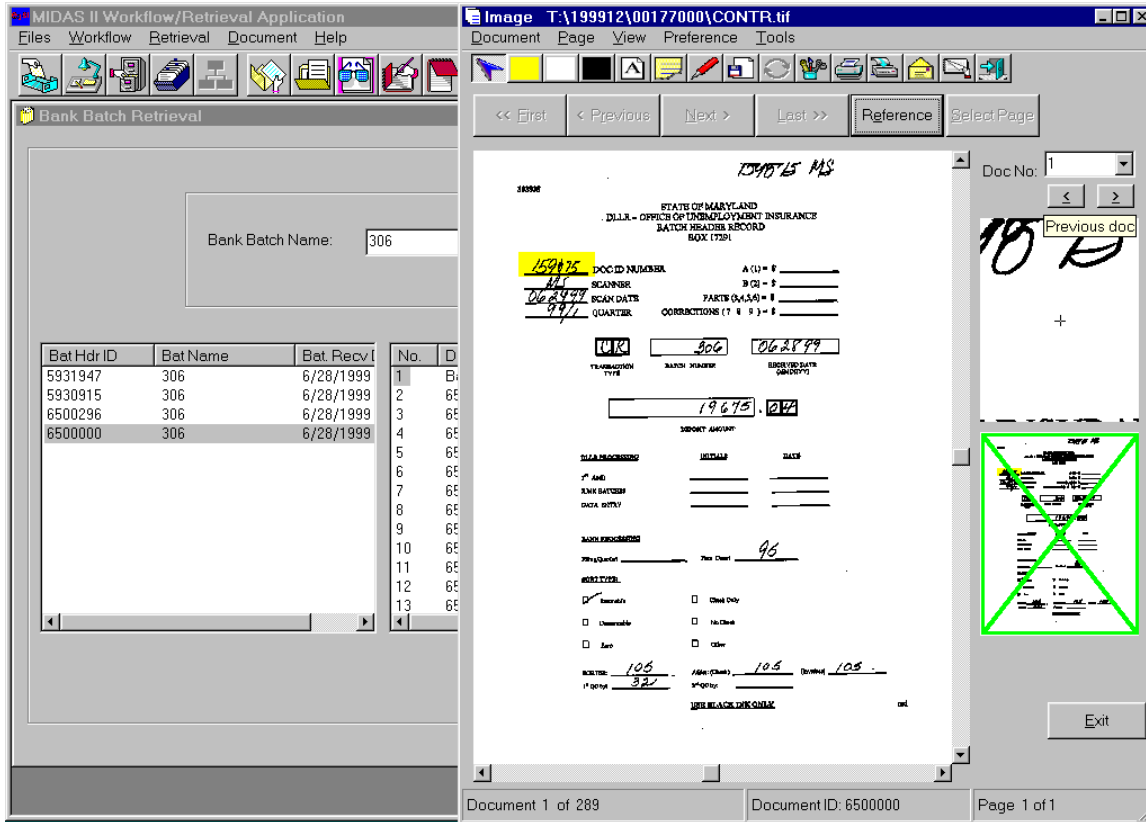


Figure 26: Image Display

**Image Display screen:**

- The **Detail window** is displayed on the right side of the screen. If the user holds the cursor within the image area on the left side of the screen, a magnified view is displayed in the detail window.
- The **Reference window** is below the detail window. It is a minimized copy of the image. When the user magnifies the image, the reference window shows which part of the document has been magnified. When the user **Clicks** on **Reference** button, the reference window will either open or close.
- If there are multiple pages, user can **Click** on **First**, **Previous**, **Next** and **Last** buttons that are above the image window.
- If there are multiple documents, user can **Click** on **Previous doc** (<) or **Next doc** (>) buttons which is above the detail window.
- The user can also access multiple pages by **Clicking** on **Select Page**, which is below the reference window.
- The bottom of the image display screen shows the Document ID and the page.

## **Annotations:**

There are six annotation tools:

Highlight area

White-out

Black-out

Place in-line text

Place note

Place line

**Highlight area:** This annotation tool allows the user to highlight a specific area of the document.

**White-out:** This annotation tool allows the user to White-out a specific area of the image.

**Black-out:** This annotation tool allows the user to black-out a specific area of the image.

**Place in-line text:** This annotation tool allows the user to add a short single line message on the image.

**Place note:** This annotation tool allows the user to add a note in the image. Unlike the In-line text, in this function the user can add multiple lines of message.

**Place line:** This annotation tool allows the user to add a line to a specific area of the image

**Highlight area:**

This annotation tool allows the user to highlight a specific area of the document. The user can see a magnified view of the document in the Detail window.



Figure 27: Highlight area Annotation

- Click on the **Highlight area** icon on the toolbar.
- Hold the cursor down with the left-mouse button, and drag the mouse on the specific area to be highlighted.
- **To save the annotation:** Click on the Save Annotation icon on the toolbar. Or Click on Document on the menu bar and Click save. If the user forgets to save the annotation and Clicks another button, the message ‘Do you want to save the annotation’ will appear, as shown below. Click Yes or No.

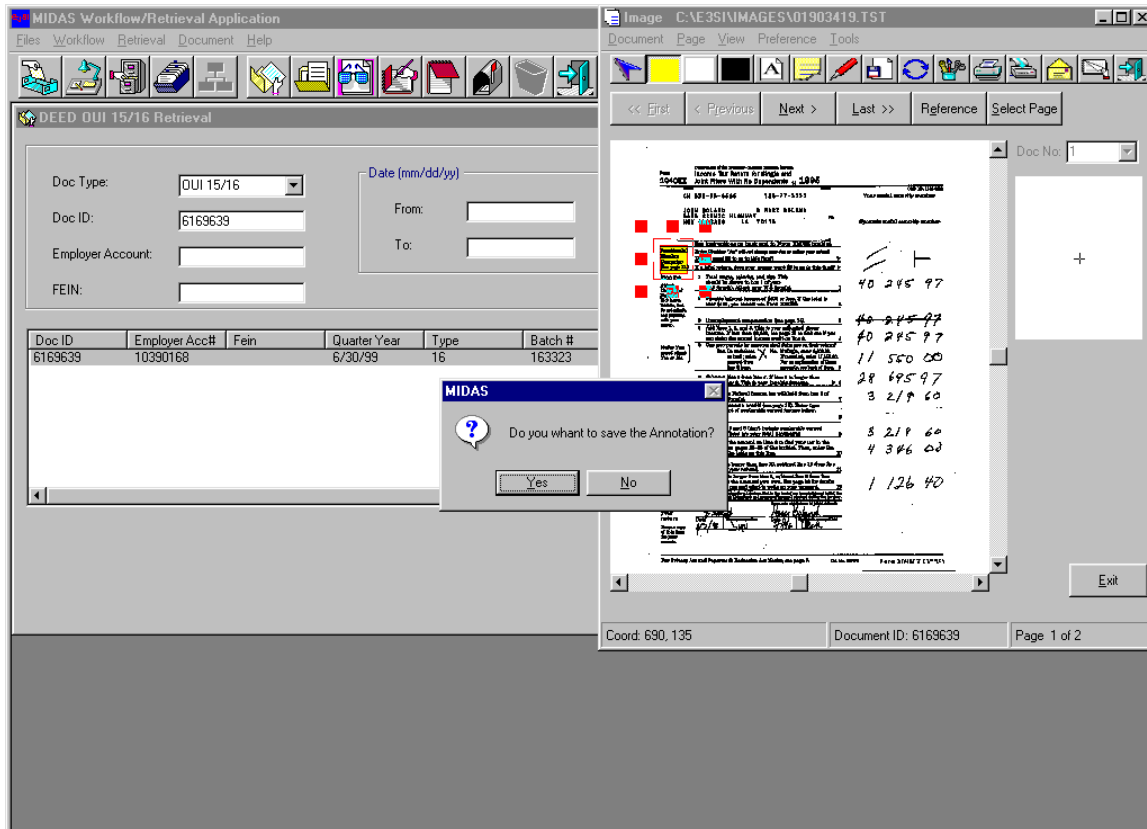


Figure 28: Highlight area Annotation

**White-out:**

This annotation tool allows the user to White-out a specific area of the image.



Figure 29: White-out Annotation

- Click on the White-out icon on the toolbar.
- Hold the cursor down with the left-mouse button, and drag the mouse on the specific area to be highlighted.
- **To save the annotation:** Click on the Save Annotation icon on the toolbar. Or Click on Document on the menu bar and Click save. If the user forgets to save the annotation and Clicks another button, the message 'Do you want to save the annotation' will appear, as shown in Highlight area annotation. Click Yes or No.

The example below shows the white-out area of the image.

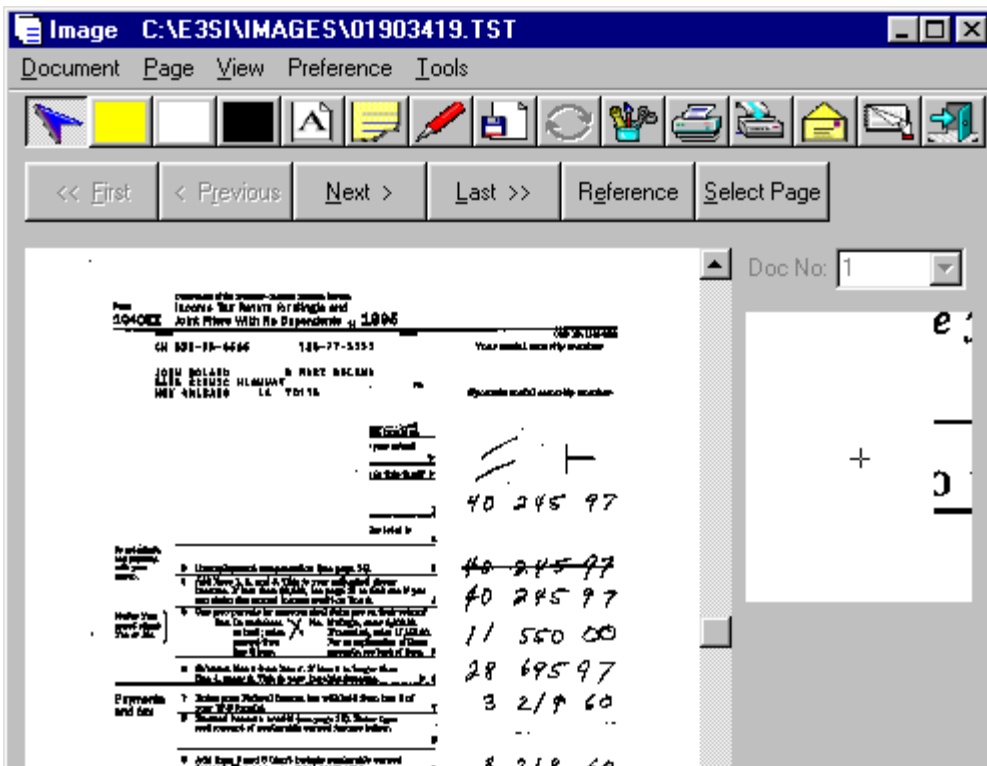


Figure 30: White-out Annotation

**Black-out:**

This annotation tool allows the user to black-out a specific area of the image. A magnified view of the black-out area can be seen in the detail window.



Figure 31: Black-out Annotation

- **Click** on the Black-out icon on the toolbar.
- Hold the cursor down with the left-mouse button, and drag the mouse on the specific area to be highlighted.
- **To save the annotation:** **Click** on the Save Annotation icon on the toolbar. Or **Click** on Document on the menu bar and **Click** save. If the user forgets to save the annotation and **Clicks** another button, the message 'Do you want to save the annotation' will appear, as shown in Highlight area annotation. **Click** Yes or No.



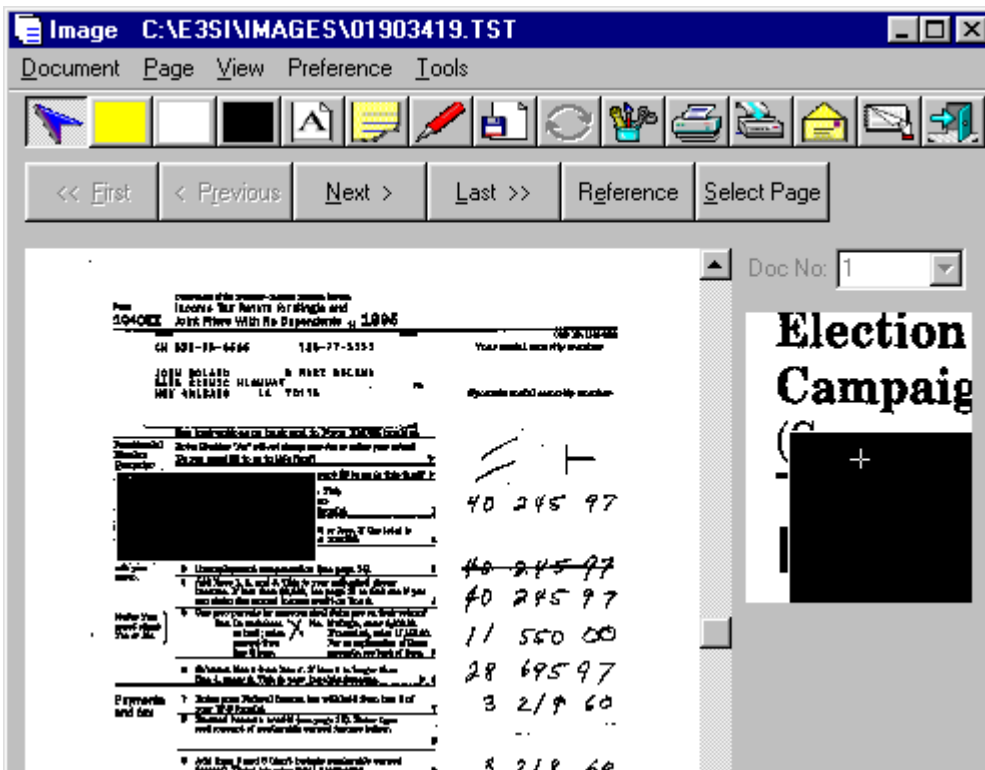


Figure 32: Black-out Annotation

**Place in-line text:**

This annotation tool allows the user to add a short single line message on the image. A magnified view can be seen in the detail window.

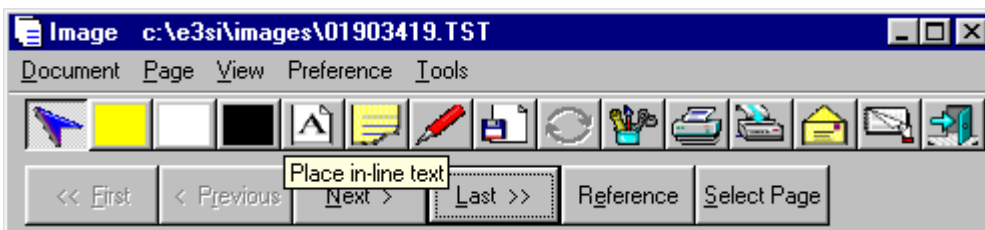


Figure 33: Annotations

- **Click** on the Place in-line text icon on the toolbar.
- **Click** on the specific area of the image, where the user wants to add a single line message.
- That will open the message box as shown below. Type a short single line message. **Click** OK. This message will be displayed in the image after the user **Click** OK.

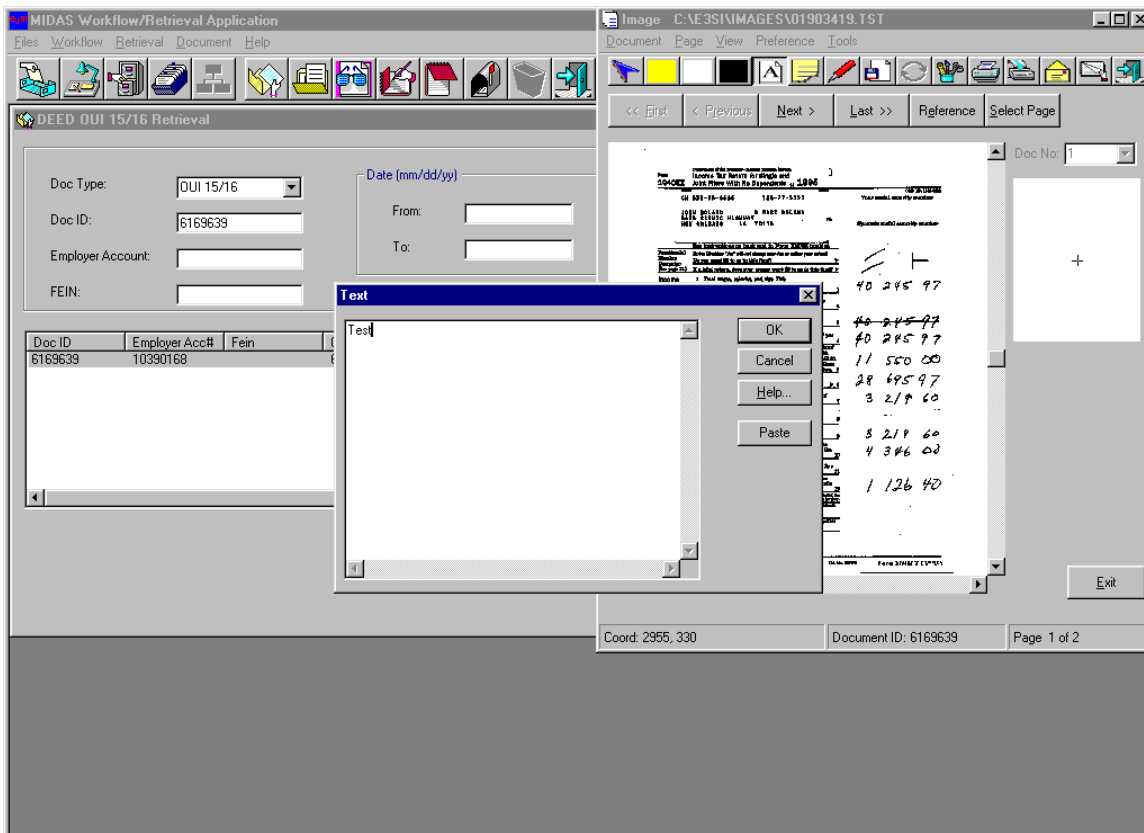


Figure 34: Annotations

- **To save the annotation:** Click on the Save Annotation icon on the toolbar. Or Click on Document on the menu bar and Click save. If the user forgets to save the annotation and Clicks another button, the message 'Do you want to save the annotation' will appear, as shown in Highlight area annotation. Click Yes or No.

The example below shows the image after the text is added to the image.

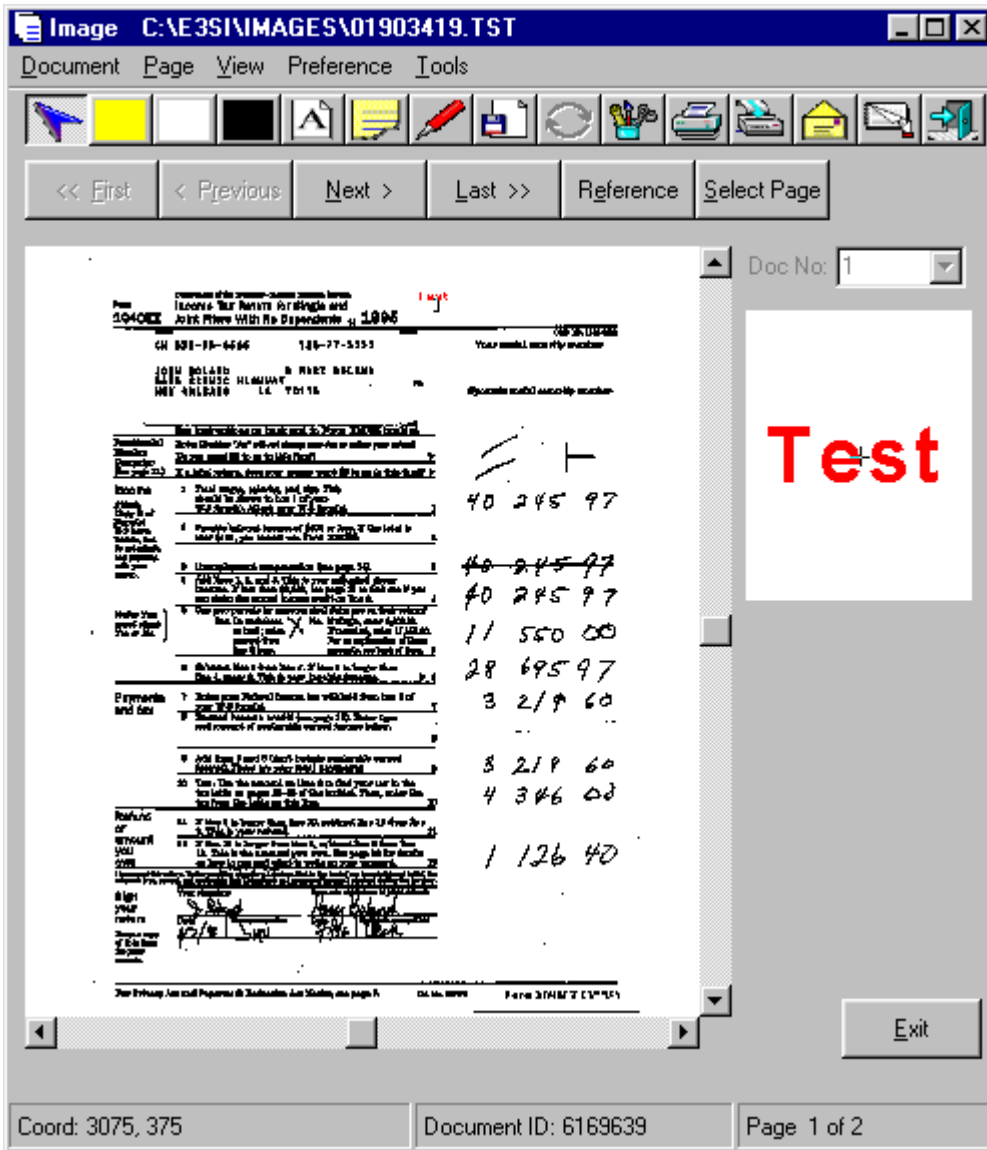


Figure 35: Annotations

**Place note:**

This annotation tool allows the user to add a note in the image. Unlike the In-line text, in this function the user can add multiple lines of message. The text is not directly visible in the image. It appears as an icon on the image. To read the note the user has to **Click** on the note icon on the image. This displays the text.

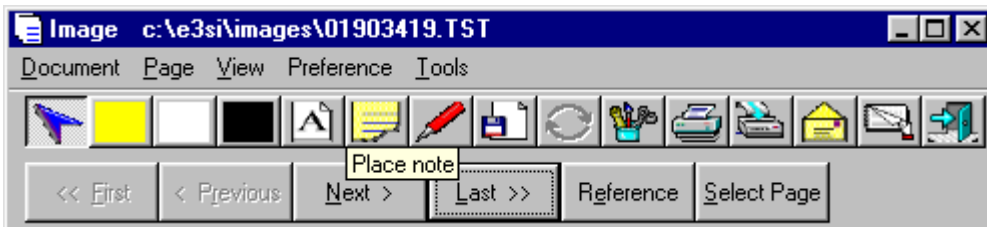


Figure 36: Annotations

- **Click** on the Place note icon on the toolbar. This will open the note.
- **Click** on the specific area of the image, where the user wants to add a note.
- That will open the message box as shown below. Type a note and **Click** OK

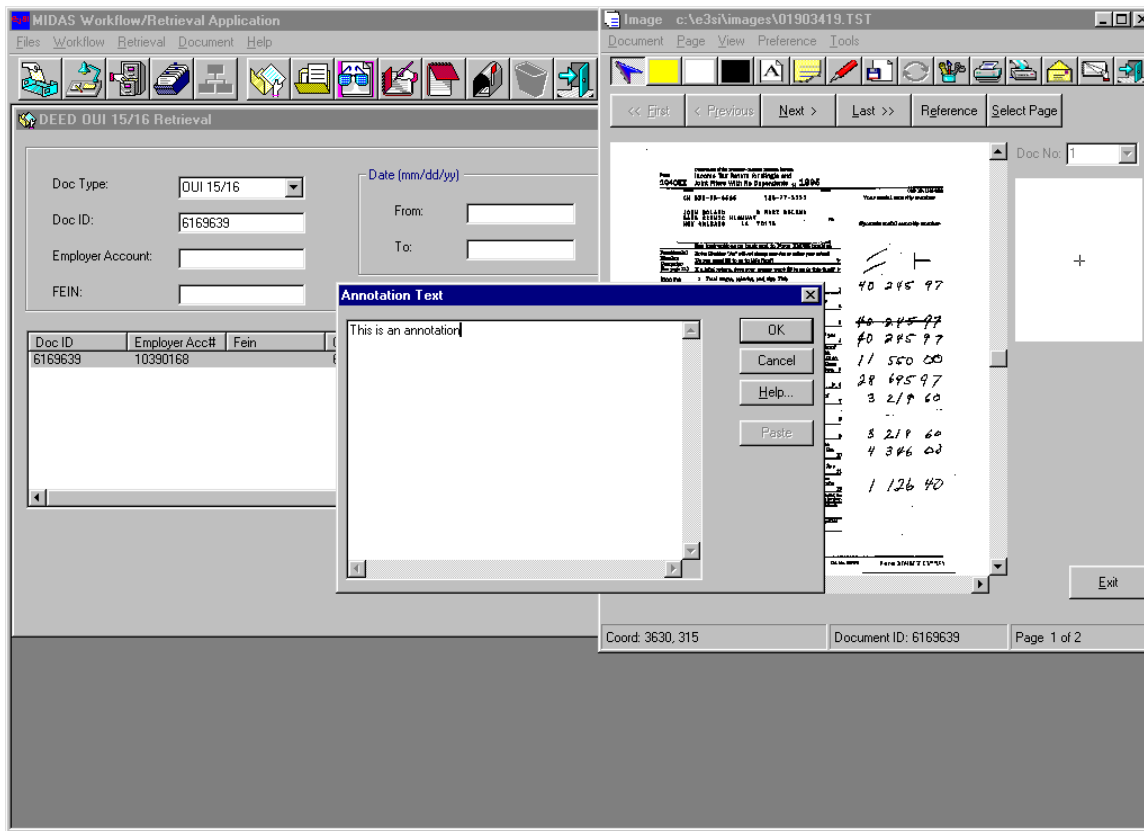


Figure 37: Annotations

- **To save the annotation:** **Click** on the Save Annotation icon on the toolbar. Or **Click** on Document on the menu bar and **Click** save. If the user forgets to save the annotation and **Clicks** another button, the message 'Do you want to save the annotation' will appear, as shown in Highlight area annotation. **Click** Yes or No.

The example below shows the image after the note has been added to the image. The user **Double-Clicks** on the note icon in the image to read the note.

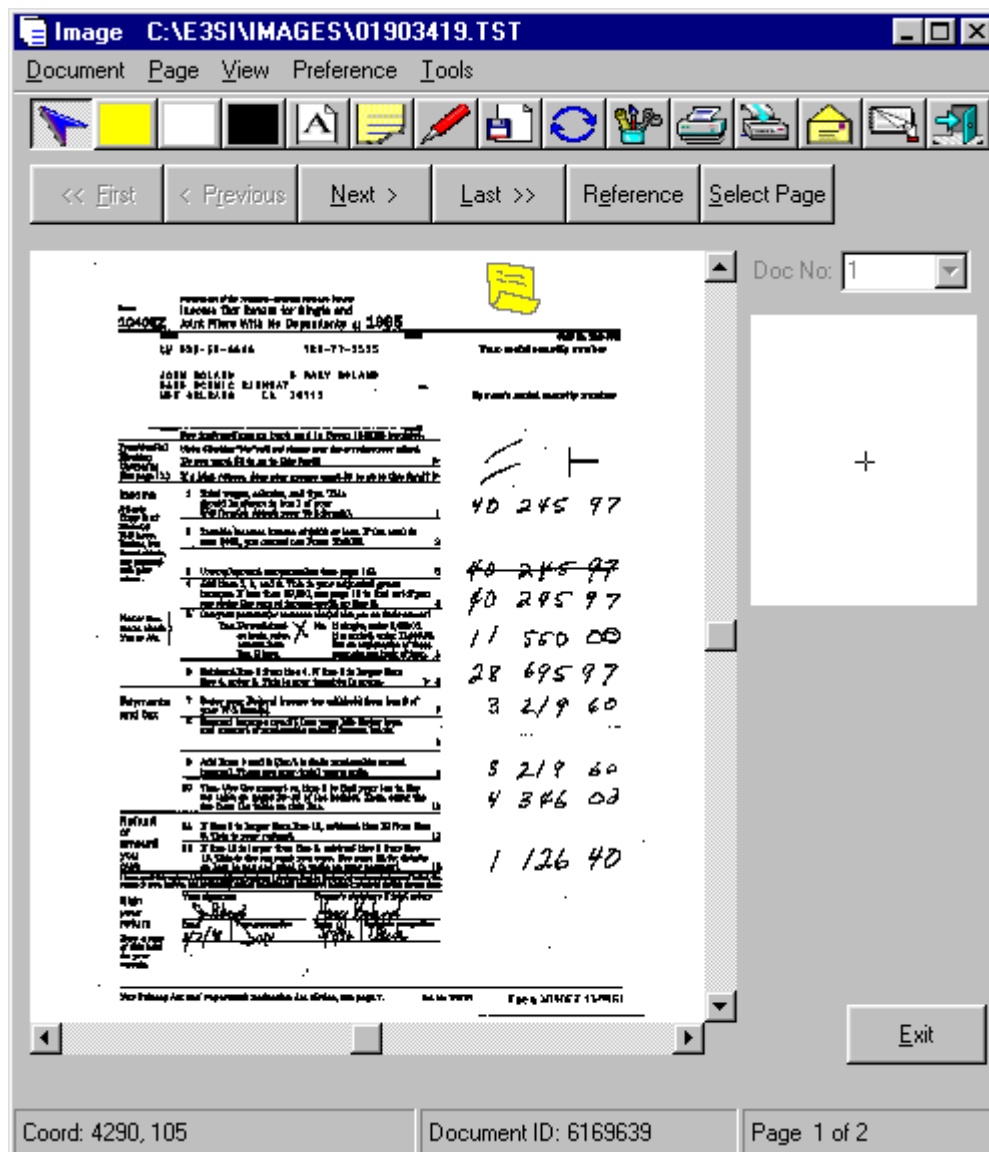


Figure 38: Annotations

- To read the note: **Double-Clicking** on the note icon in the image opens a dialog box, as shown below. After reading the note, **Click OK** to close the dialog box.

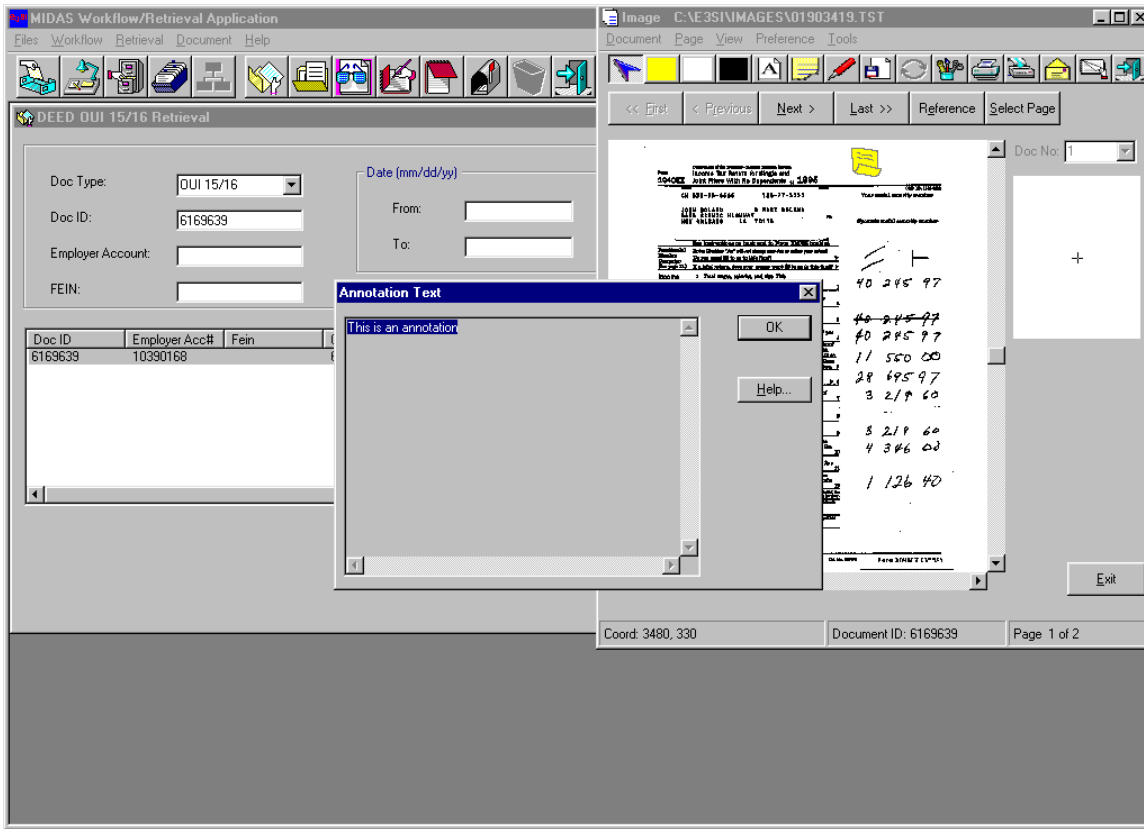


Figure 39: Annotations

**Place line:**

This annotation tool allows the user to add a line to a specific area of the image. A magnified view can be viewed in the detail window.

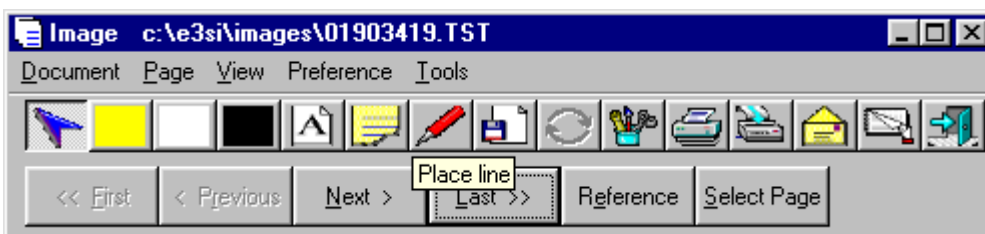


Figure 40: Annotations

- **Click** on the Place line icon on the toolbar.
- Hold the cursor down with the left mouse button and draw a line on the specific area of the image.

- **To save the annotation:** Click on the Save Annotation icon on the toolbar. Or Click on Document on the menu bar and Click save. If the user forgets to save the annotation and Clicks another button, the message 'Do you want to save the annotation' will appear, as shown in Highlight area annotation. Click Yes or No.

The example shown below shows the image after the line is added to the image.

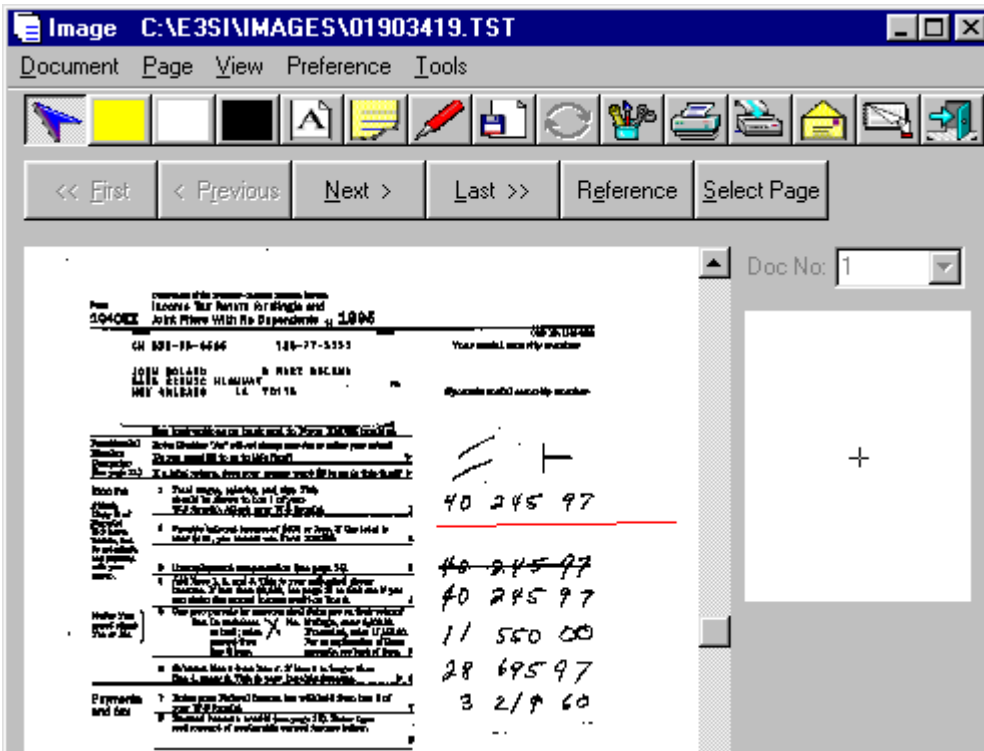


Figure 41: Annotations

**To change color of annotation:**

The user can change the color of the annotation objects like Text, Line, Highlight and Note. This allows the user to set the default or select from a range of colors.

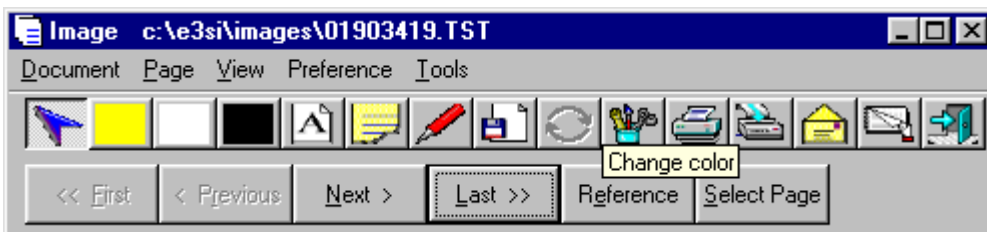


Figure 42: Annotations

- Click on the Change color icon on the toolbar. This will open an object color box as shown below.
- The object color box shows four annotation tools: Text  
Line

## Highlight

## Note

- **Click** on the annotation tool. **Click** on the color combo box, next to Color. Select the color and **Click** OK. Or the user can **Click** Default button. This will set the default colors.

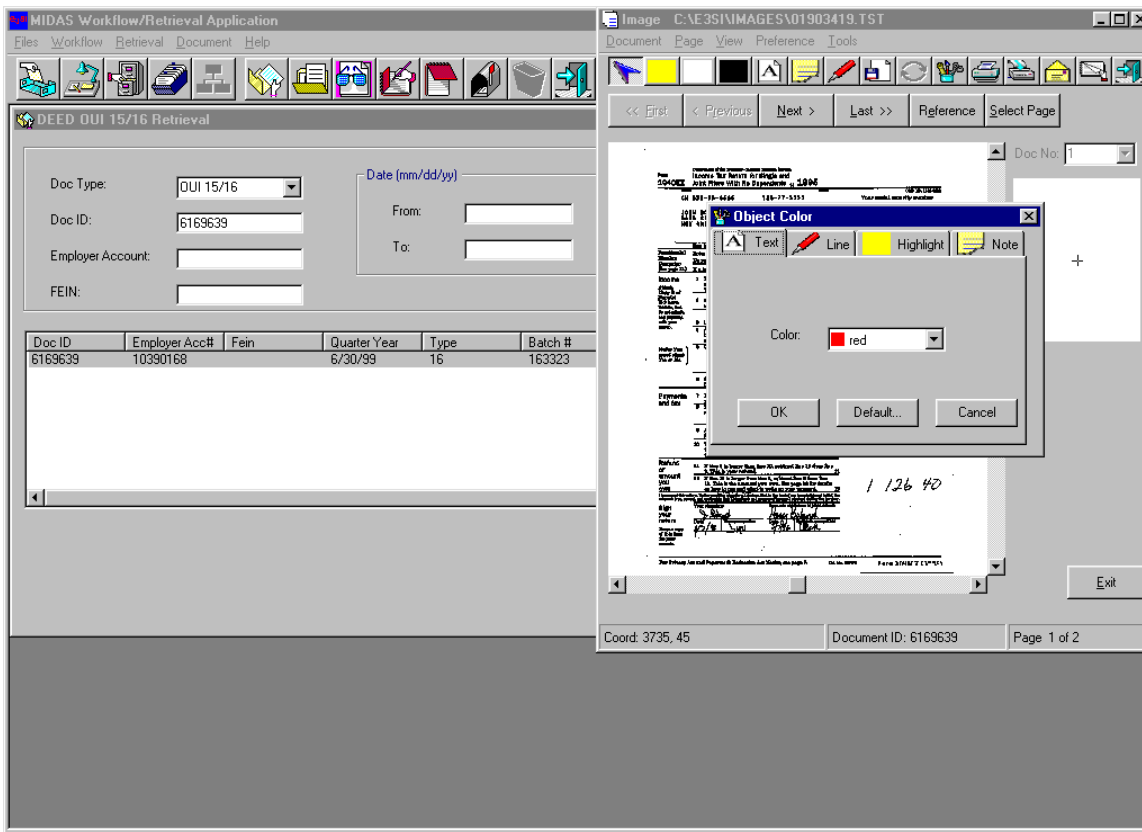


Figure 43: Annotations

## Print:

This function allows the user to print the document.

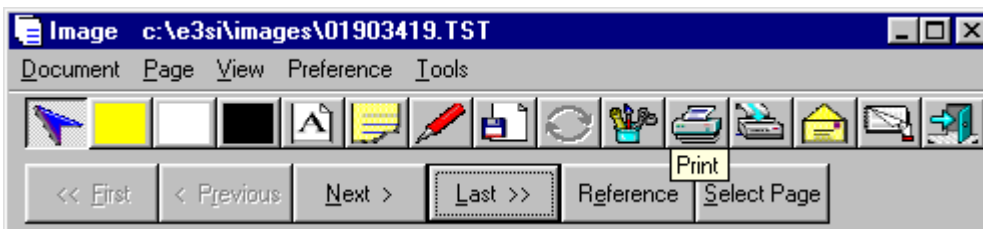


Figure 44: Printing

- **Click** on the **Print** icon on the toolbar. This opens a print screen, as shown below.
- Select the printer from the pull-down menu, next to the Printer Name.



- Click on one of the option buttons to select the Print Range
- Click on the appropriate box for annotations and notes.
- Type the number of copies.
- Click Print.

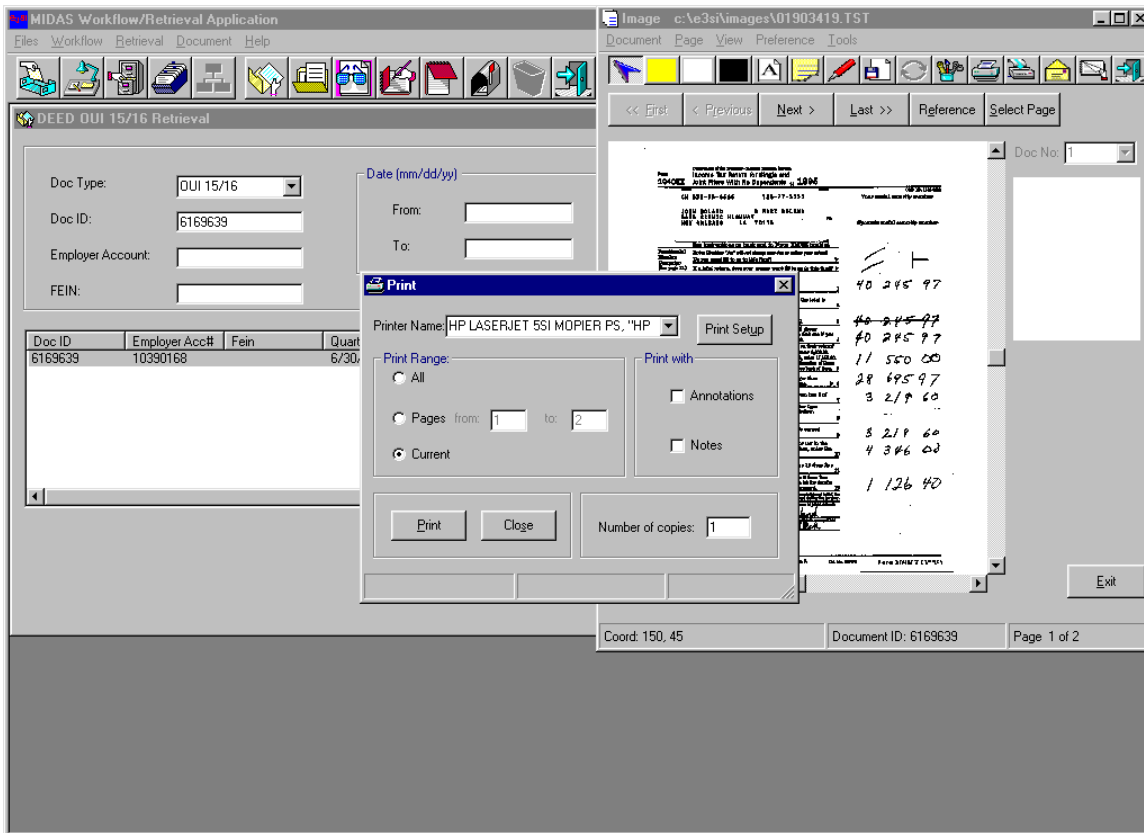


Figure 45: Printing

**Fax:**

This function allows the user to fax the document.

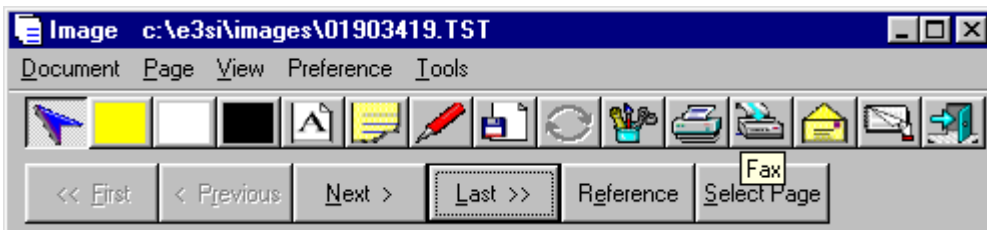


Figure 46: Faxing

- **Click** on the fax icon on the toolbar. This opens a fax screen, as shown below.
- There are different fields for FAX, Phone, Scale, Orientation and Pages.
- With the TAB key, move to different fields and fill in appropriate information.
- **Click OK** to fax the document.

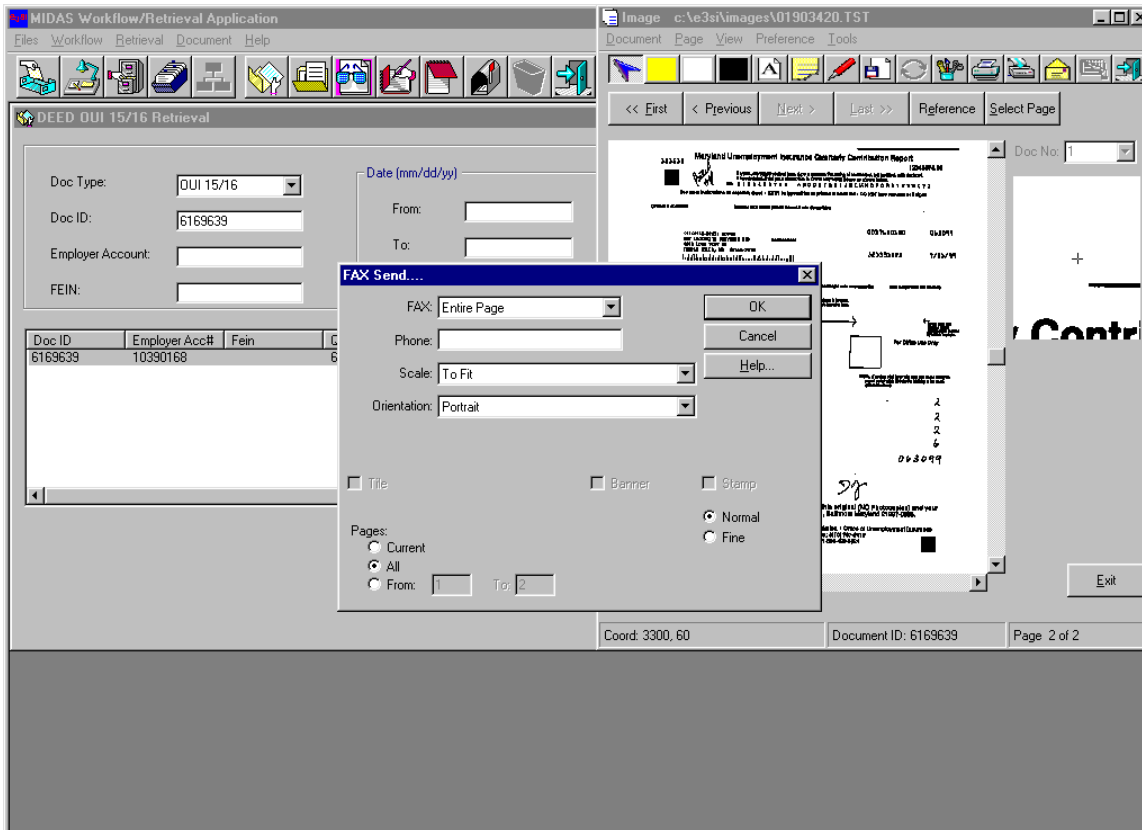


Figure 47: Faxing

**E-mail:**

This function allows the user to e-mail the document to an Internet email address.

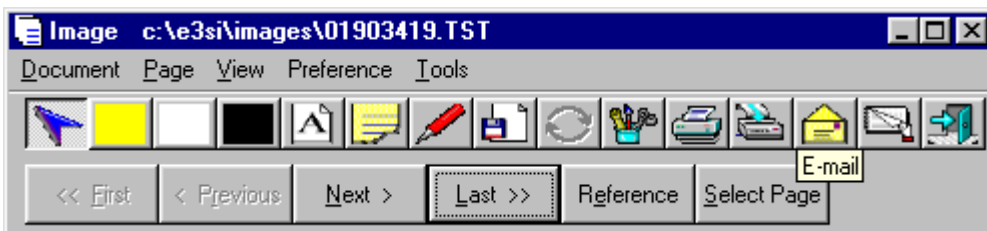


Figure 48: e-mail

- Click on the E-mail icon on the toolbar. This opens the Select/Attach image screen, as shown below.
- The Select/Attach image screen displays two windows for Available Images and Selected Images.
- Click on the image name in the “Available Images” window. Click on the arrow sign (➔).

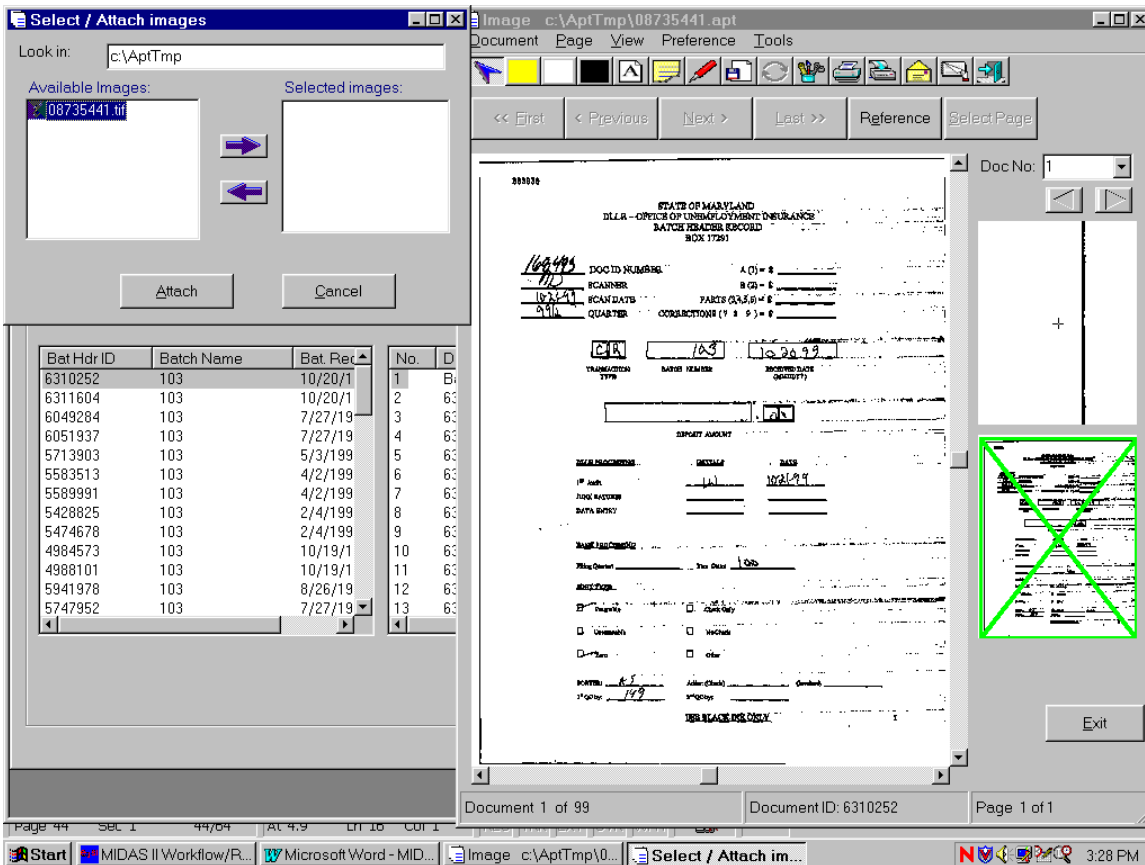


Figure 49: E-mail

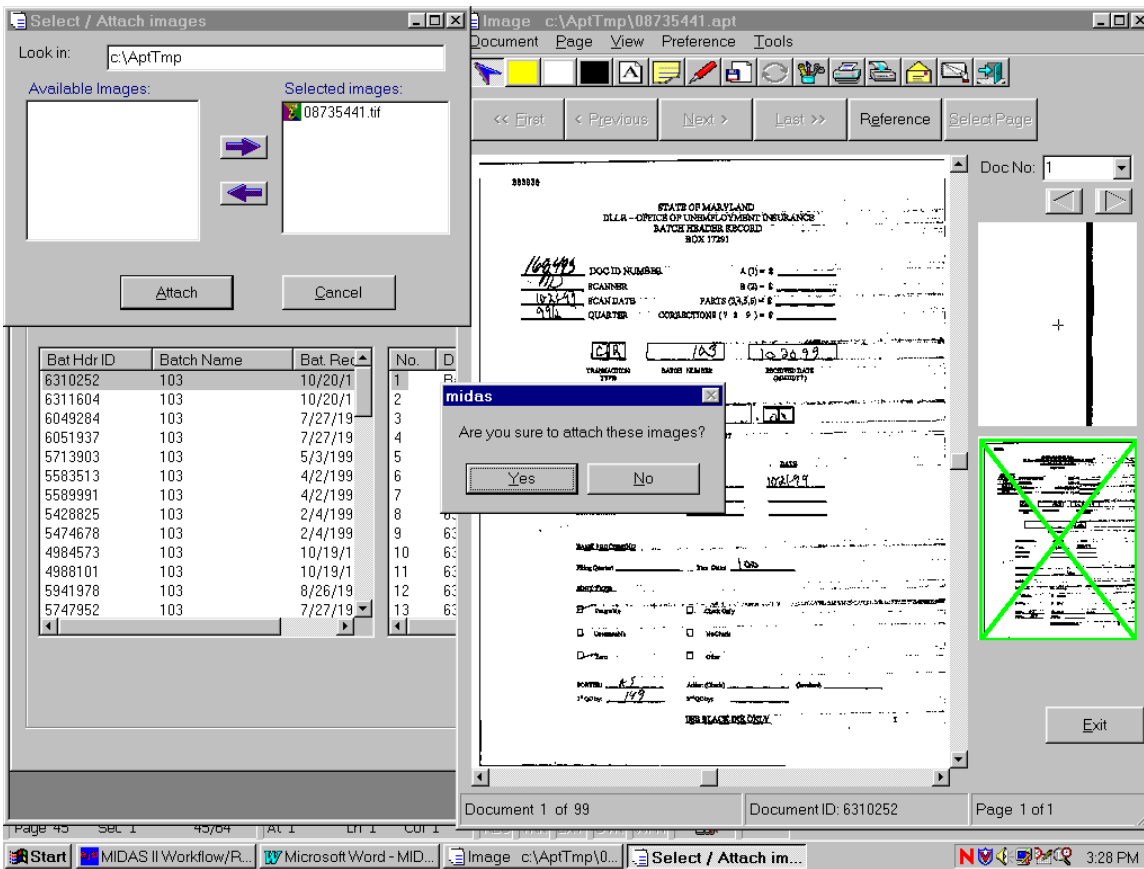


Figure 50: E-mail

- The image is now displayed in the “Selected Images” window, as shown above.
- **Click** on the Attach button.
- The user will get the message “Are you sure to attach these images?”. Click **Yes**.

**Annotation List:**

This function shows a list of annotations for the document. Only the annotation owner or system administrator can delete the annotation.

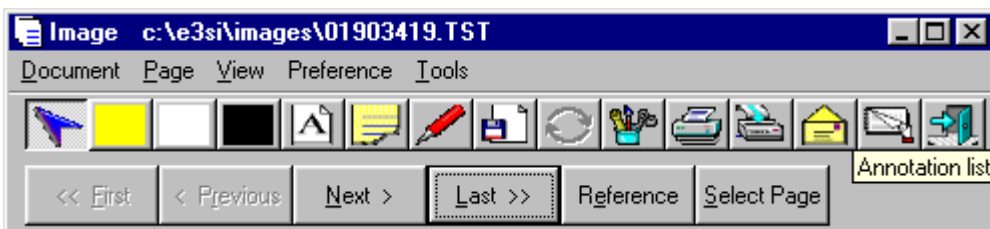


Figure 51: Annotations

- **Click** on the Annotation List icon on the toolbar. This opens the annotation list screen, as shown below.
- The screen shows the list of annotations for the document by annotation type and annotation owner.
- Only the annotation owner or system administrator can delete the annotation. In the annotation list, **Click** on the annotation the user wants to delete. **Click** Delete. This will delete that annotation from the document.

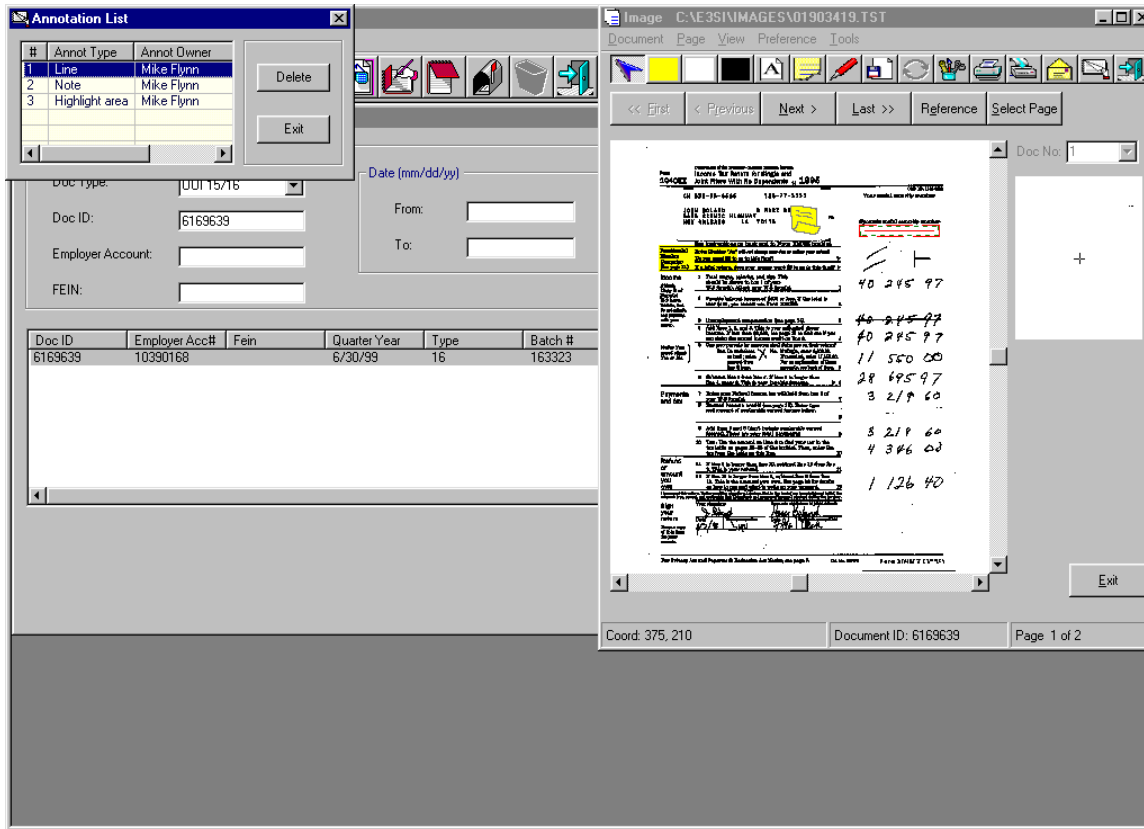


Figure 52: Annotations

## Document Retrieval: EMPLOYER ACCOUNT

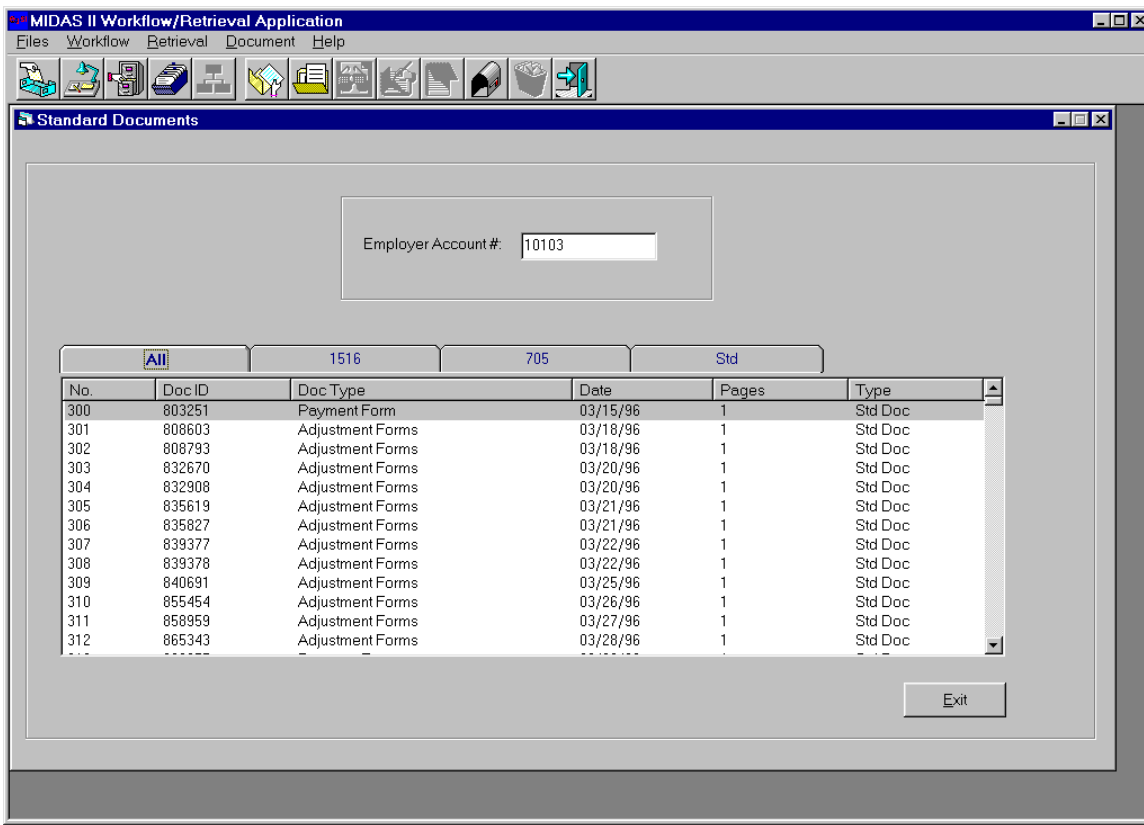


Figure 53: EMPLOYER ACCOUNT

- **Click** on the Document Retrieval icon as shown for DEED 15/16 retrieval.
- **Click** on the EMPLOYER ACCOUNT from the pull-down menu.
- **Click** on the **Open** button. It displays the above screen.
- The main function of EMPLOYER ACCOUNT is to retrieve standard documents. But the user can also retrieve 15, 16 and 705 documents.
- The screen displays four buttons:
  - Double-Click the All button to retrieve all documents.
  - Double-Click the 15/16 button to retrieve 15/16documents.
  - Double-Click the 705 button to retrieve 705 documents.
  - Double-Click the Std button to retrieve standard documents.

In this example **Double-Click** the All button. This will display all the items for that document as shown above. To view the image **Double-Click** on the item.

## OTHER DOCUMENT RETRIEVAL FUNCTIONS:

In Document Retrieval mode, there are several functions available through either buttons or pull-down menu selection. They are, Document History

- Modify Index
- Add Note
- Mail

## DOCUMENT HISTORY:

This function allows the user to view the history of the document. The user can view the tasks and the activity done on the document. The user can also view the time of the tasks performed, the username and the annotation history of the selected document.

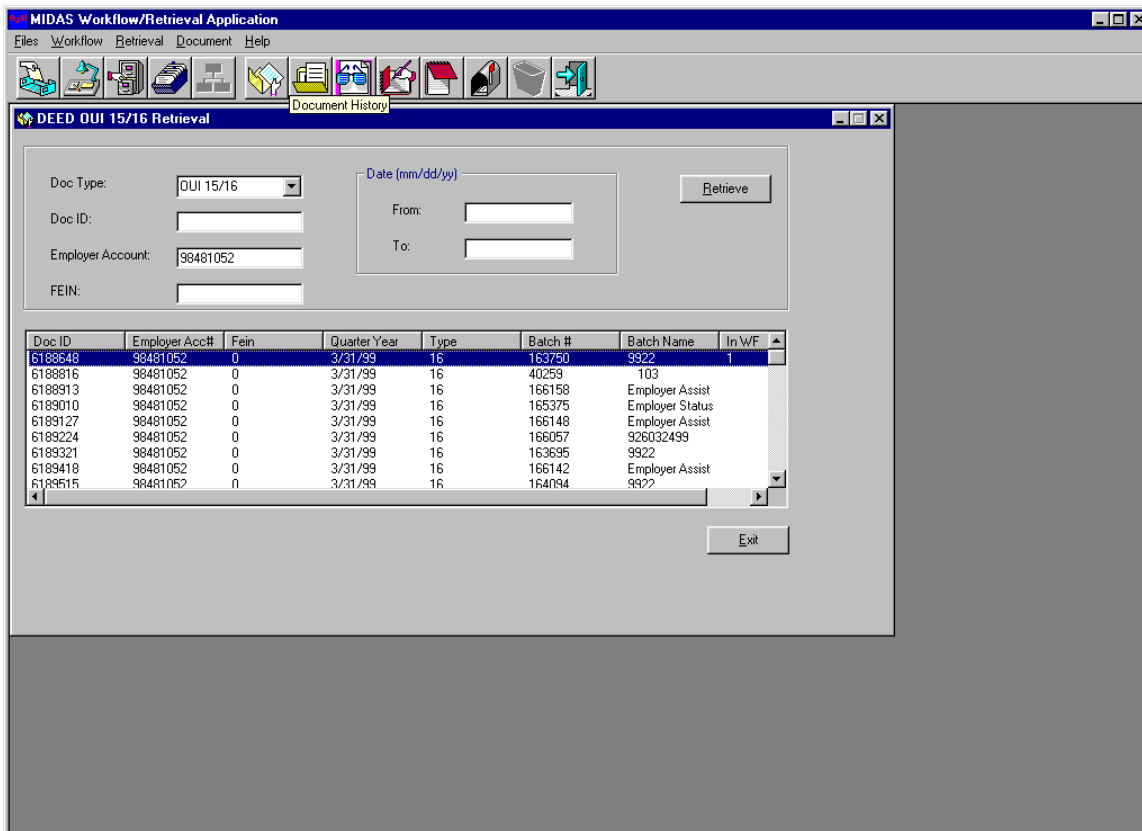


Figure 54: Document History

- **Click** on the item for which the user needs to view the document history.

- Click on the Document History icon in the tool bar as shown above.
- This is an example on a DEED OUI 15/16 Retrieval.

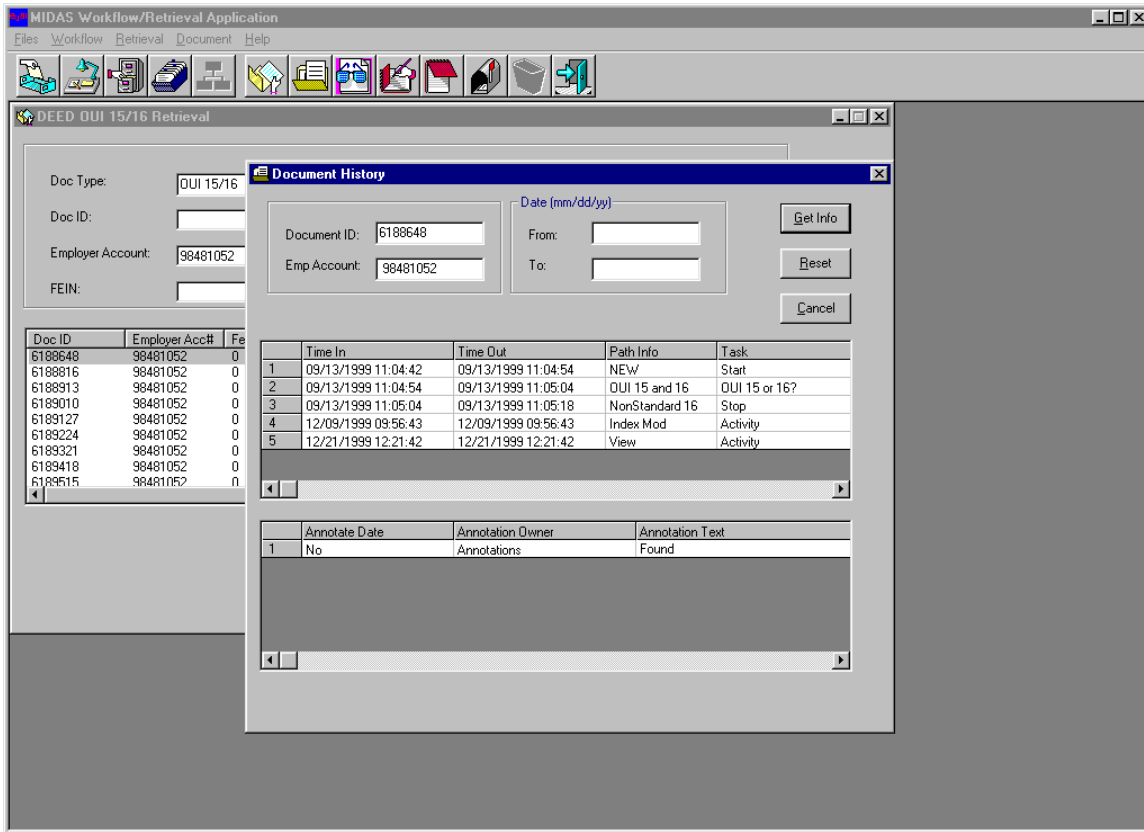


Figure 55: Document History

**THE DOCUMENT HISTORY SCREEN SHOWS THE HISTORY OF THE DOCUMENT BY**

**TIME IN**

**TIME OUT**

**PATH INFO**

**TASK**

**USERNAME**

**THE BOTTOM WINDOW SHOWS IMAGE ANNOTATION HISTORY FOR A SELECTED DOCUMENT.**

- Click cancel to exit the Document History screen.



Figure 56: Document History

To check the Document History of any other item:

**CLICK THE RESET BUTTON ON THE SCREEN. ENTER THE DOCUMENT ID IN THE DOCUMENT ID FIELD. WITH THE TAB KEY ENTER THE EMPLOYER ACCOUNT NUMBER AND DATE RANGE. THESE TWO FIELDS ARE OPTIONAL.**

- **Click GetInfo.** This will get the Document History of that item.

**CLICK CANCEL TO EXIT THE SCREEN**

## INDEX MODIFICATION: 15/16 Retrieval

This function allows the user to modify the index of the document.

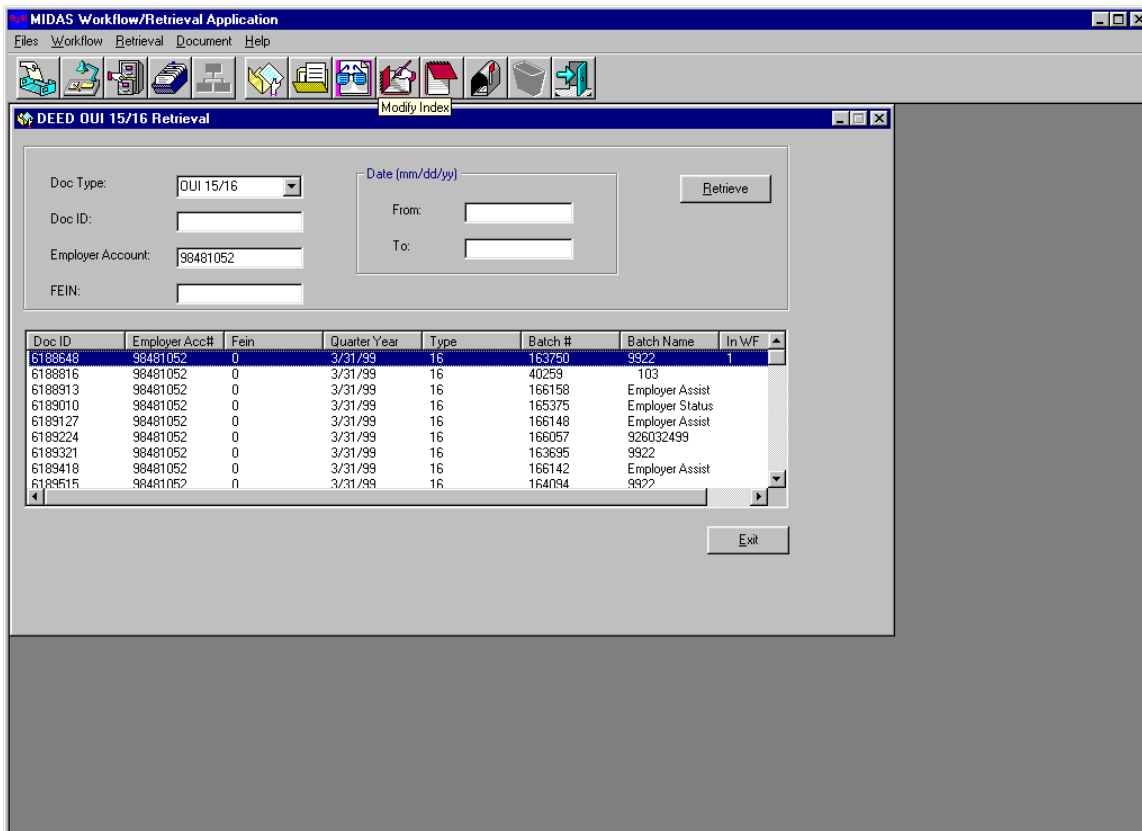


Figure 57: Index modification

- **Click** on the item containing the index the user wants to modify.
- **Click** on the Modify Index icon on the toolbar.

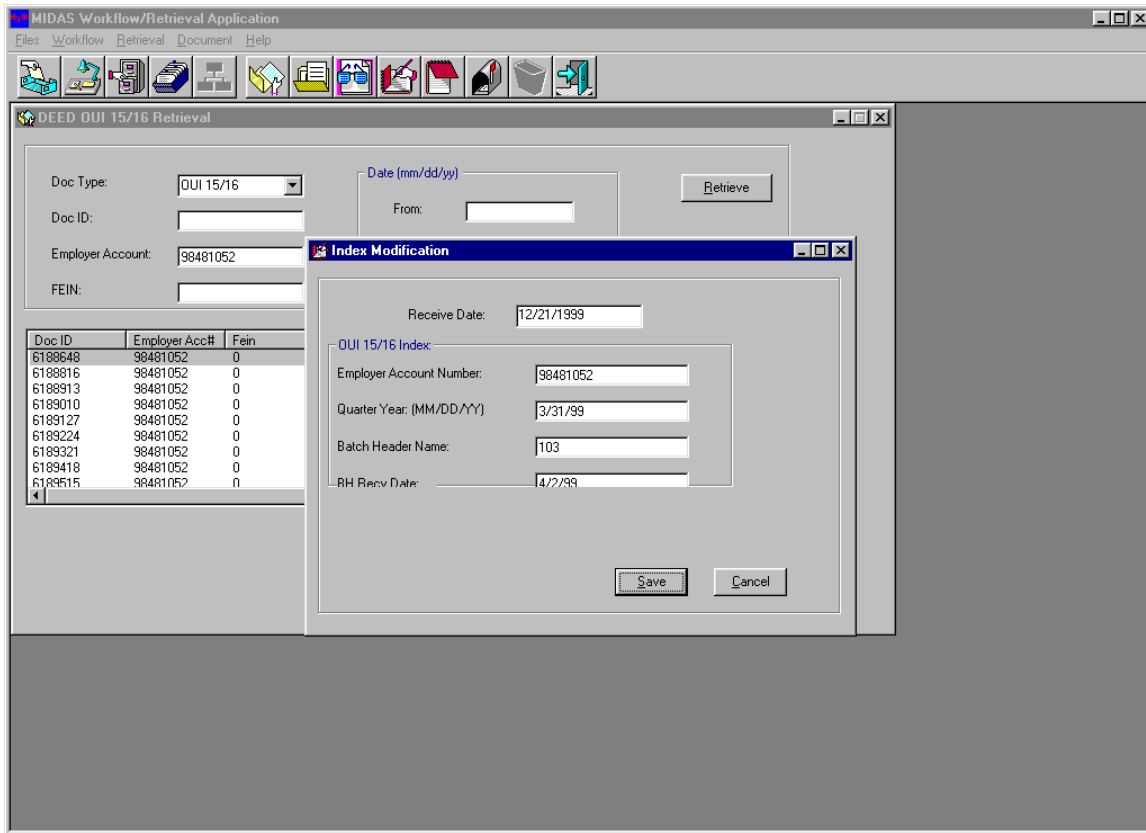


Figure 58: Index modification

- The Index Modify screen has different fields for Employer Account Number, Quarter year, Batch Header Name and Receive date.
- Modify the required information.
- **Click** save.

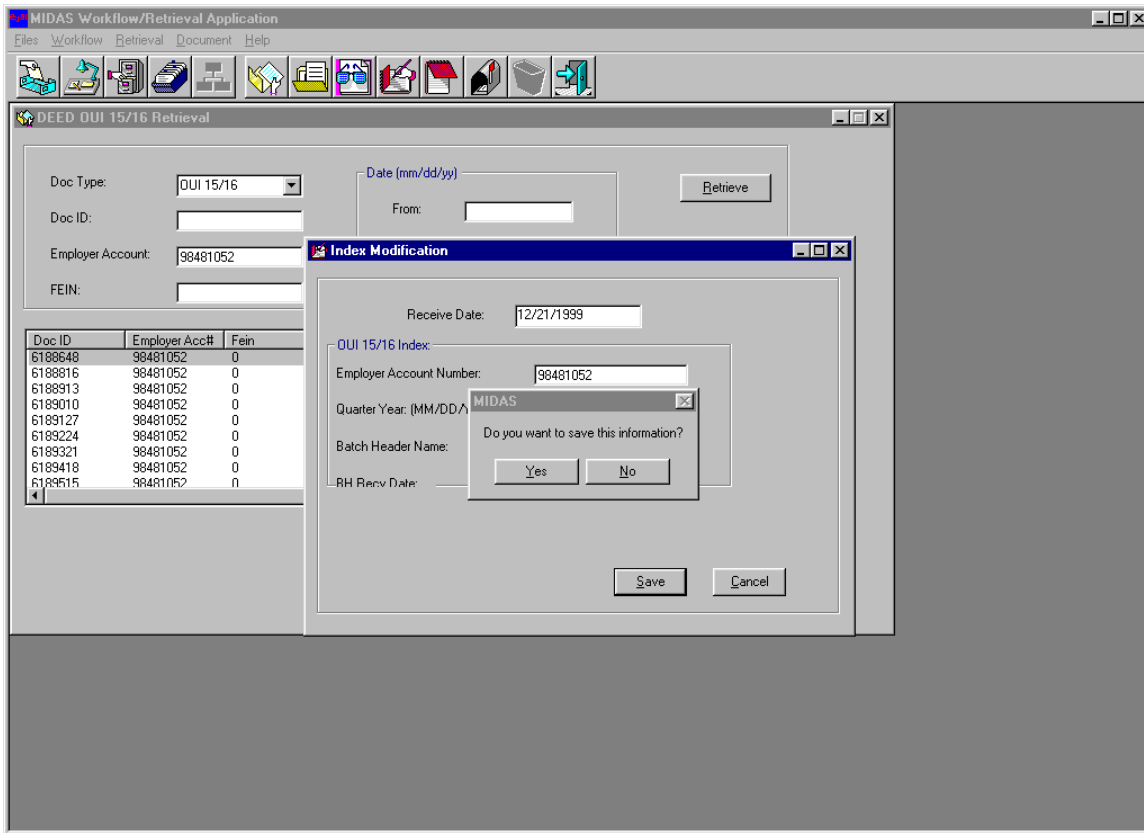


Figure 59: Index modification

**WHEN THE USER CLICKS SAVE, A MESSAGE BOX AS SHOWN ABOVE IS DISPLAYED.**

**CLICK YES TO CONTINUE WITH THE CHANGES, OR NO TO CANCEL.**

- This will take the user back to the DEED OUI 15/16 screen.

## **INDEX MODIFICATION: SR-219 Retrieval**

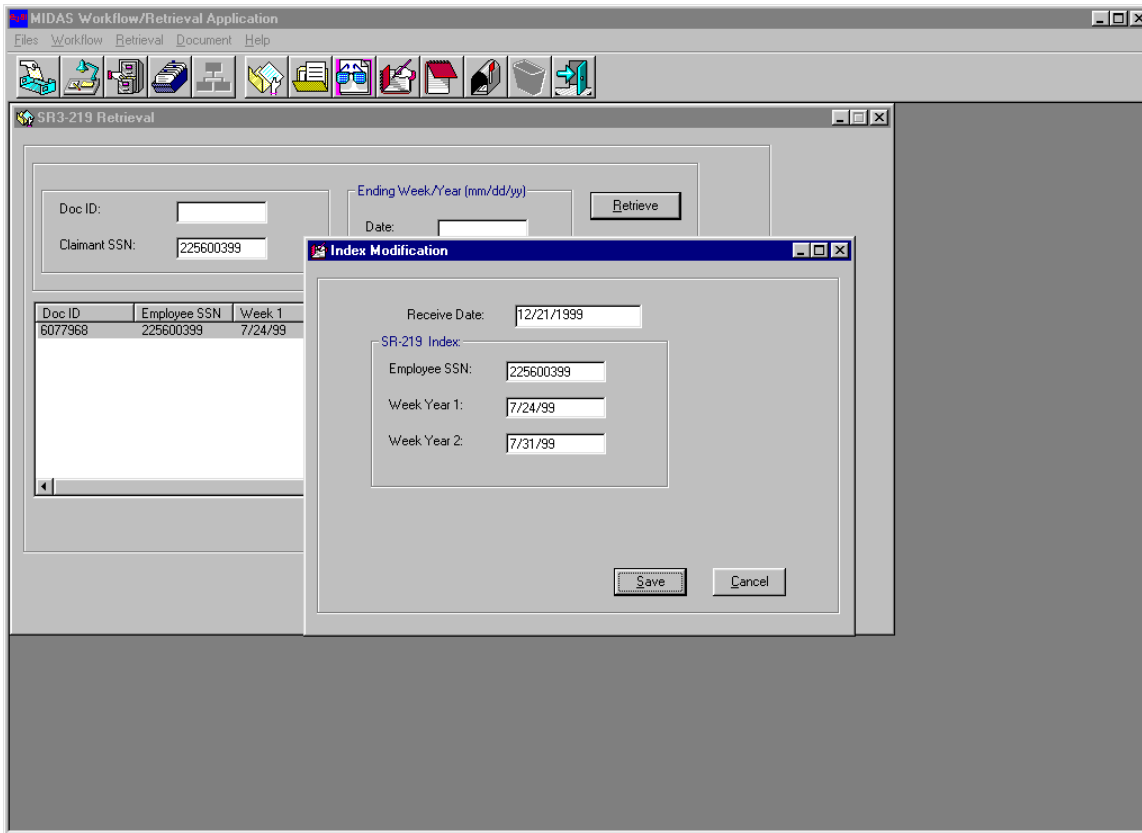


Figure 60: Index modification

- **Click** on the item containing the index the user wants to modify. **Click** on the Modify Index icon as shown in the example for 15/16 retrieval.
- The Index Modification screen as shown above is displayed. The screen shows different fields for Employee social security number, Week Year 1 and Week Year 2. Modify the required fields. **Click** Save.
- When the user **Clicks** Save, a message box is displayed as shown in the example for 15/16 retrieval. **Click** Yes to continue with the changes, or **Click** No to cancel.

## INDEX MODIFICATION: ST 705 Retrieval

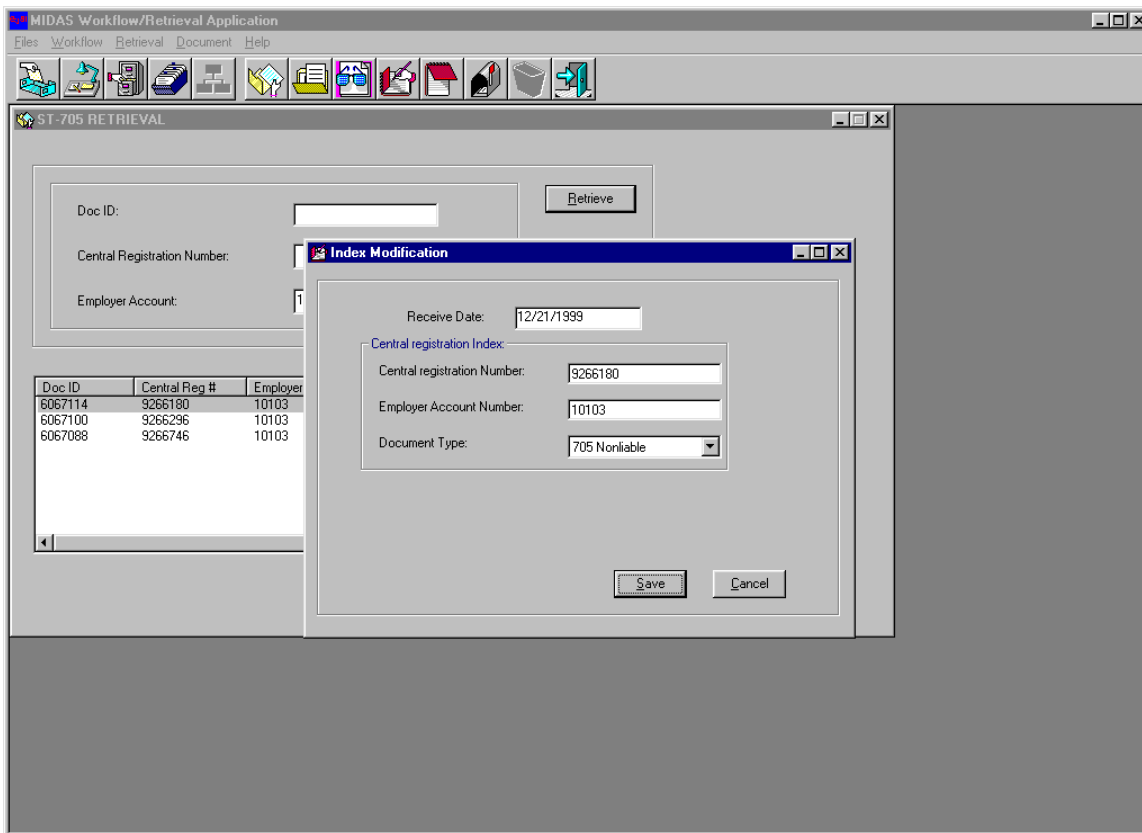


Figure 61: Index modification

- **Click** on the item containing the index the user wants to modify. **Click** on the Modify Index icon as shown in the example for 15/16 retrieval.
- The Index Modification screen as shown above is displayed. The screen shows different fields for Central Registration Number and Employer Account Number. Select the Document Type from the pull-down menu. Modify the required fields. **Click** Save.
- When the user **Clicks** Save, a message box is displayed as shown in the example for 15/16 retrieval. **Click** Yes to continue with the changes, or **Click** No to cancel.

## INDEX MODIFICATION: BANK BATCHES

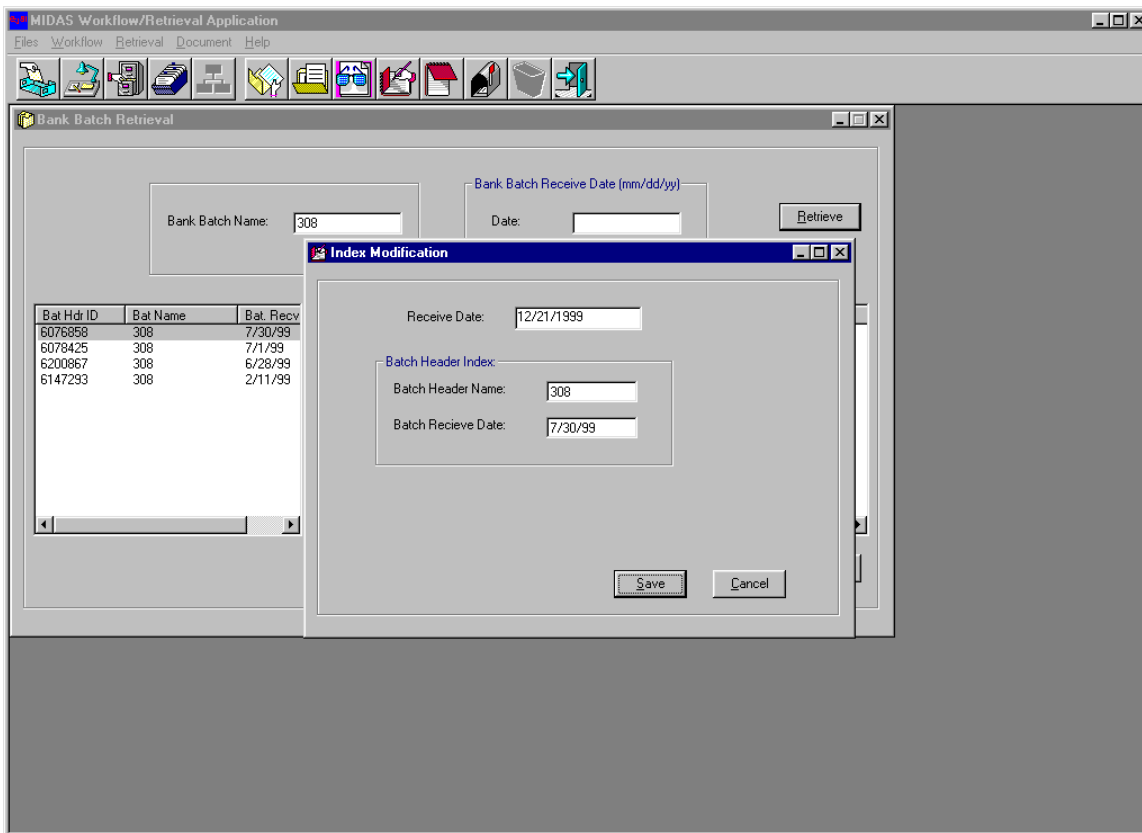


Figure 62: Index modification

- **Click** on the item containing the index the user wants to modify. **Click** on the Modify Index icon as shown in the example for 15/16 retrieval.
- The Index Modification screen as shown above is displayed. The screen shows different fields for Batch Header Name and Batch Receive Date. Modify the required fields. **Click** Save.
- When the user **Clicks** Save, a message box is displayed as shown in the example for 15/16 retrieval. **Click** Yes to continue with the changes or, **Click** No to cancel.

## ADD NOTE:

This function allows the user to add a note and attach it to the item.

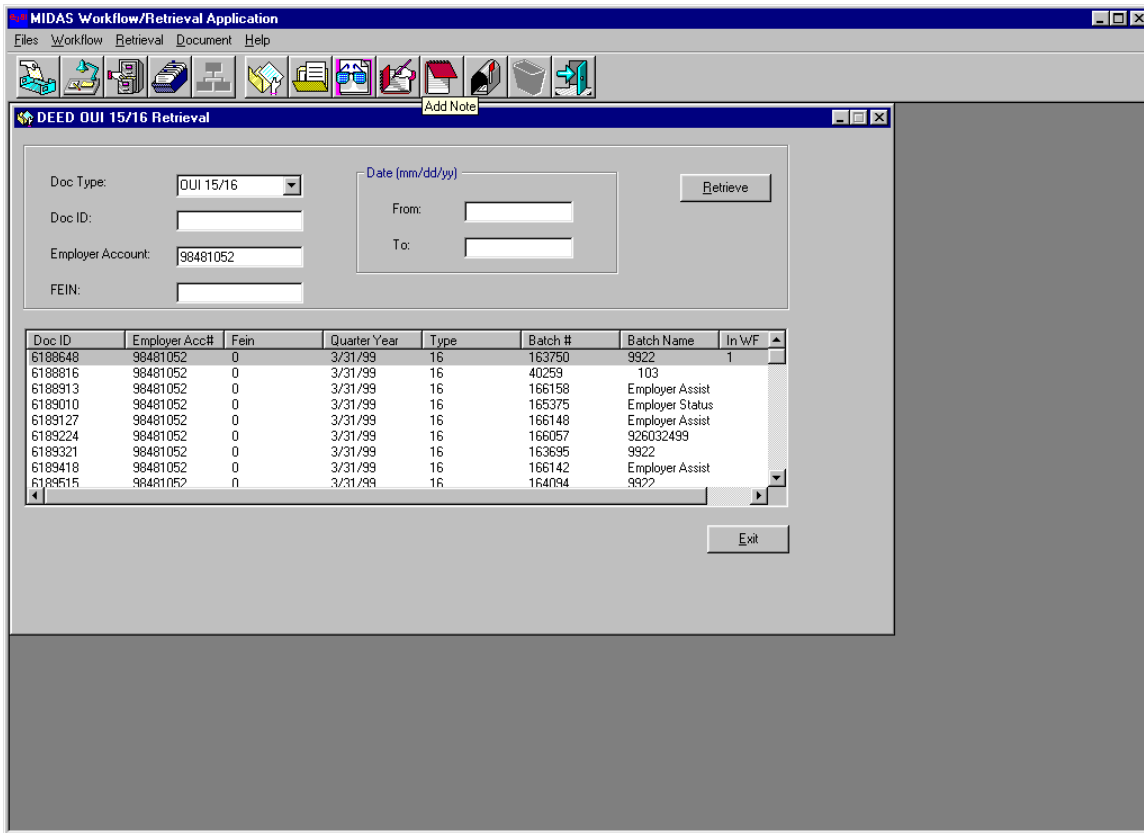


Figure 63: Note

- **Click** on the document on which the user wants to add a note.
- **Click** on the Add Note icon on the toolbar, as shown above.



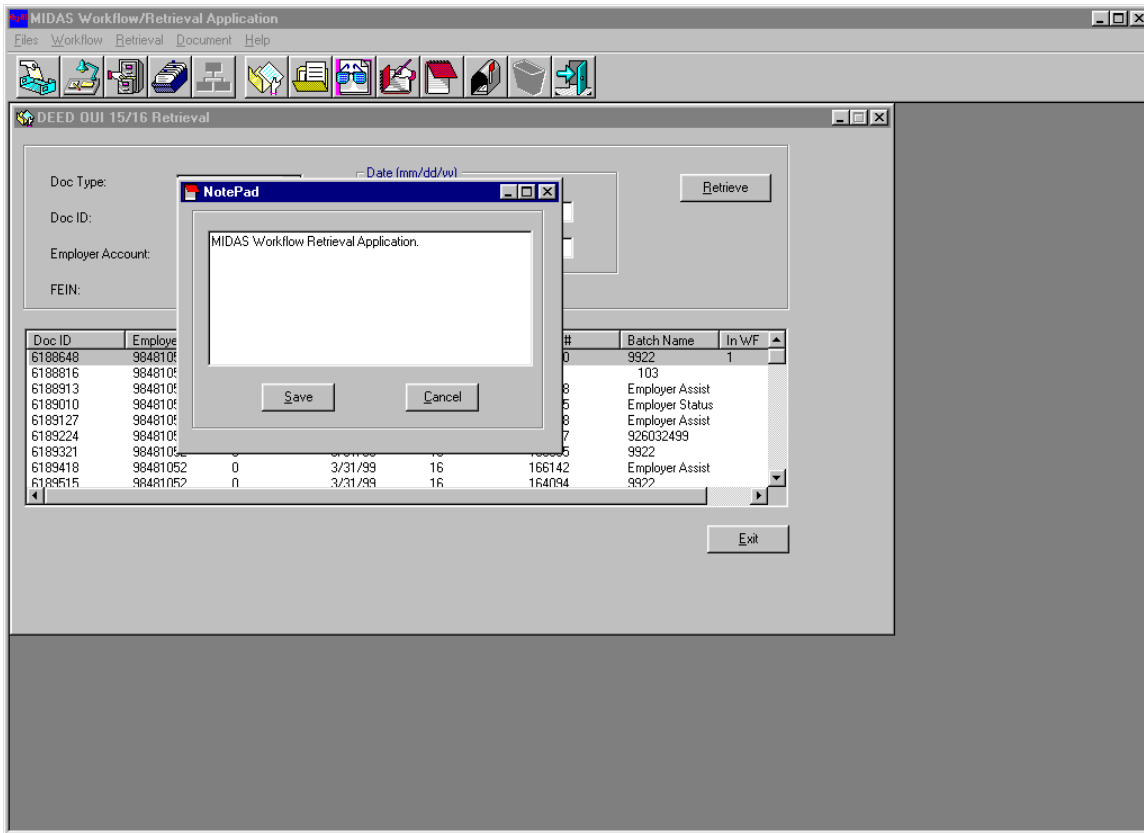


Figure 64: Note

- The Notepad window will display as shown above.
- Type a note.
- **Click** Save to save the note.

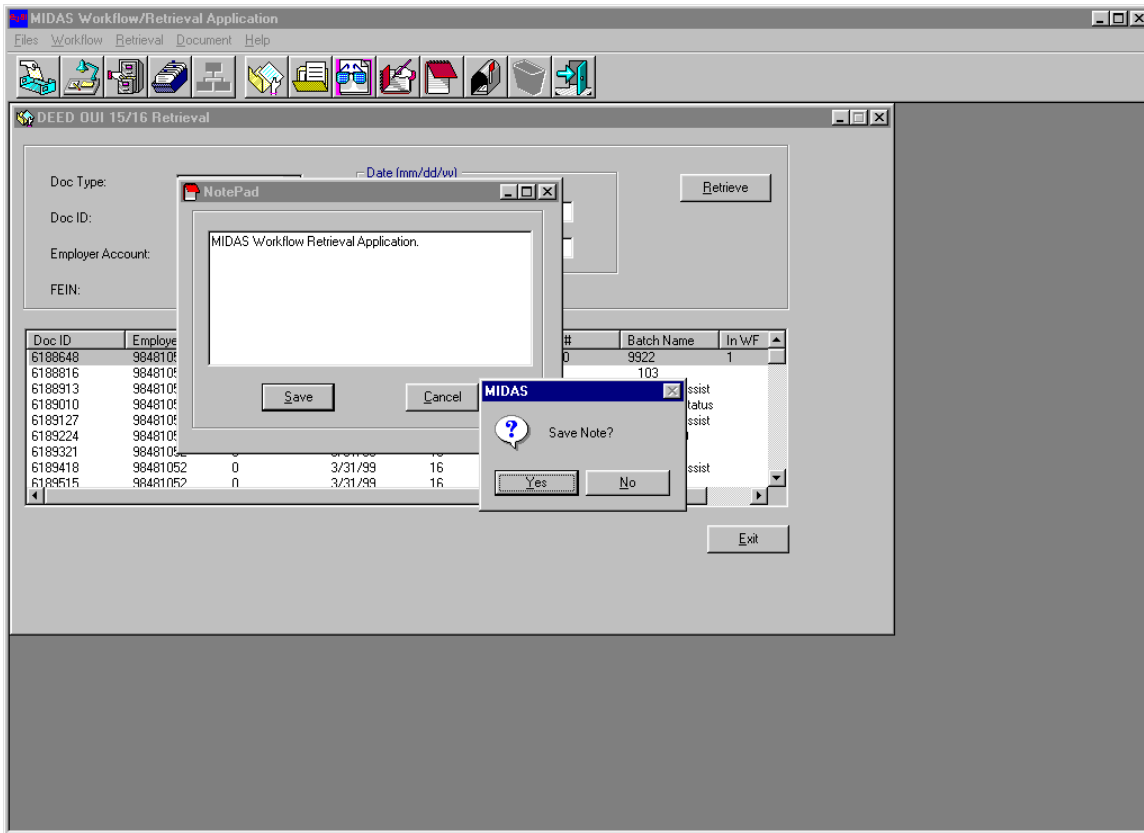


Figure 65: Note

**WHEN THE USER CLICKS SAVE, A POP-UP BOX IS DISPLAYED AS SHOWN ABOVE.**

- **Click Yes** to save the note or, **Click No** to Cancel the note.

## ATTACHMENT 13 – MIDAS II FORMS PROCESSING

### • MIDAS II FORMS PROCESSING OVERVIEW:

The Captiva FormWare Forms Processing module is a major software component of the MIDAS II document and data capture management system. FormWare receives the images of the 15/16 and 17/18\* forms that have been scanned on the Kodak 5500D scanners with InputAccel scan software, and subsequently performs further processing on the forms.

After the forms have been scanned, several additional functions are performed on the images, including:

- Image Enhancement - removes speckles and other extraneous marks on the image
- Auto Form Recognition - automatically determines if the form is a 15 (or 17) or 16 (18).
- Manual Form Recognition - allows user to manually identify a form that the system couldn't automatically identify
- Form Separation - separates the 15/16 and 17/18 forms into separate batches of 15/17- only and 16/18- only forms, for subsequent batch processing
- OCR (Optical Character Recognition) - converts specified data on the image into machine readable characters for later processing and transmission to the DLLR mainframe

The OCR data is verified and validated by DLLR users using the forms processing software on the user workstations. This document describes the use of the forms processing software.

The MIDAS II forms processing system is batch based. When a user begins processing a batch of forms, the batch is under the control of that user alone. Other users do not access that batch of forms when a user is processing it (i.e. performing verification or validation). When the batch has been completely processed, it is available for subsequent processing. Or, if the user decides not to finish processing the batch, it can be returned to the queue. At that time, the batch is available for another user to retrieve and continue processing.

\*The 17/18 forms are very similar to the 15/16 forms, with changes designed to improve system processing.

### • COMPONENTS:

There are two user components in forms processing. They are:

- OCR Verification - the user corrects the unrecognized or incorrect OCR data on forms that the system has flagged as having character errors
- Rule Validation - after OCR verification, the user corrects the math logic violations on forms that the system has flagged as having math errors

The steps to perform each component will be described below. There are separate user modules to perform verification and validation on the 15 (17) and 16 (18) forms. Some users might only process 15/17 forms while

others might only perform verification. The user may choose which form type is to be processed by selecting the appropriate option.

### OCR Verification: 15 and 17 Forms

To perform OCR Correction on Form 15/17:

- **Double-Click** on the “15FORM\_ocr” icon on the desktop, as shown below. If the icon is not available on the desktop, select it from the Start Menu.

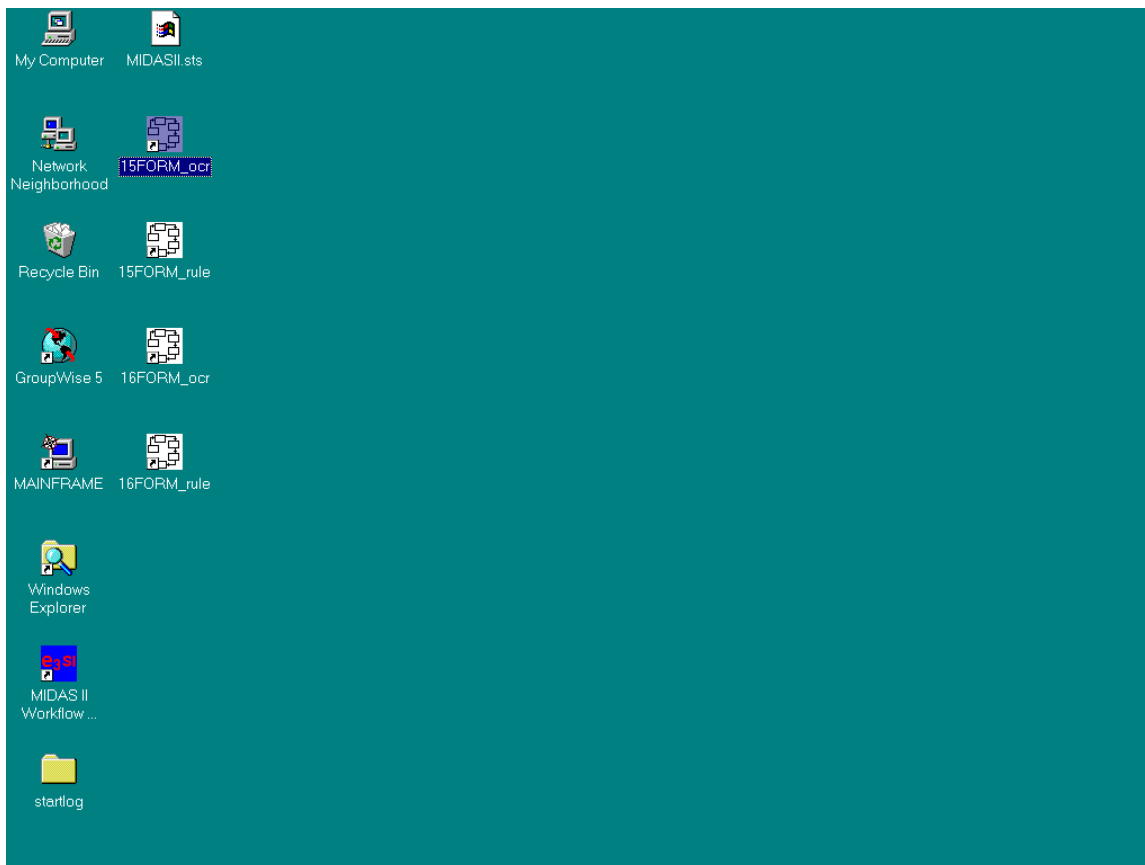


Figure 1: Initiating 15/17 Form OCR Verification

- After double-clicking on the 15FORM\_ocr icon, the Batch Header Sheet of the next available batch of forms to process is displayed (Figure 2).

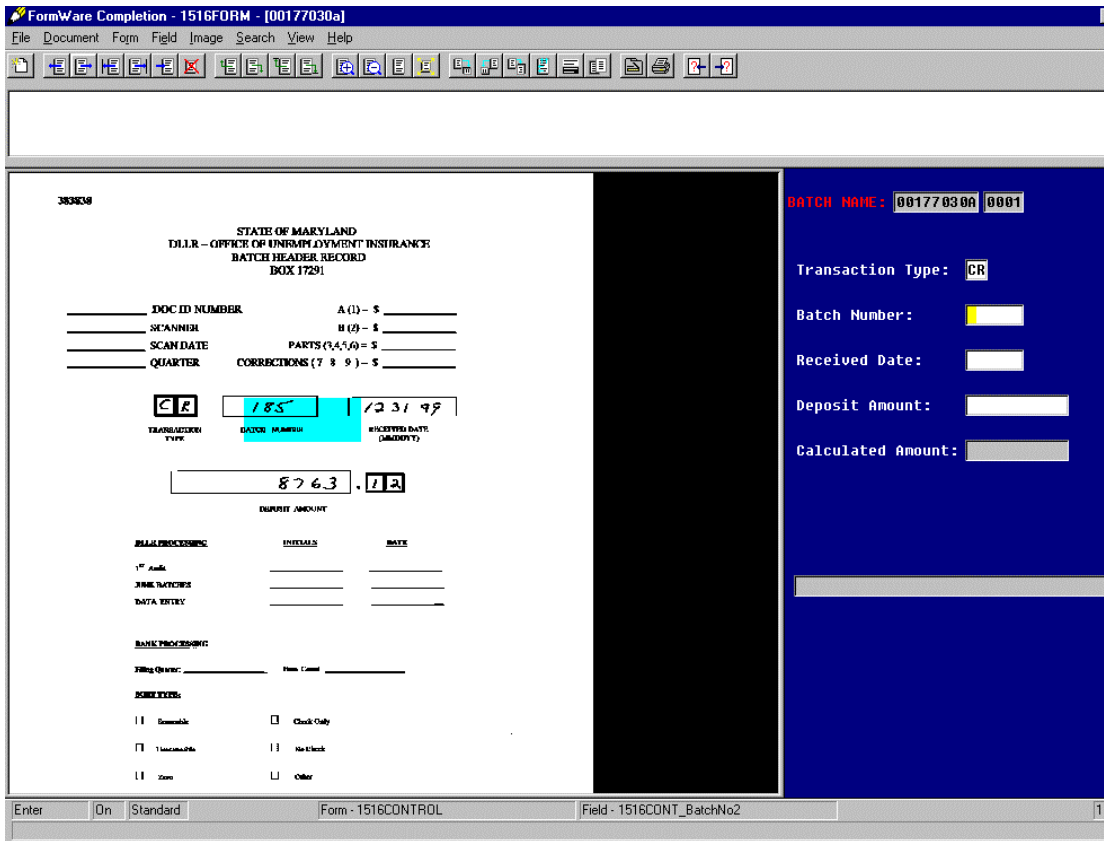


Figure 2: Batch Header Sheet

- The Batch Header Sheet displays three windows on the user screen: the image window on the left side of the screen, the data entry window on the right side of the screen, and the Ticker Tape window located in the top left above the image window. The image window displays the scanned image of the Batch Header form. The data entry window displays the OCR data that the system has processed. The Ticker Tape window displays the current OCR errors to be processed.
- The data entry window displays the following Batch fields:
  - Transaction Type
  - Batch Number
  - Received Date
  - Deposit Amount
- The user enters batch field information into the blank fields in the data entry window. As the user tabs through each field in the data entry window, the system will highlight the corresponding area on the image. Figure 2 above shows the Batch Number field highlighted on the image. The user is also positioned on the Batch Number field in the data entry window in that illustration.

- On the Batch Header sheet, the user is required to type each field of information twice. If the system detects a different value than the user entry, it will pop up a window that displays a message asking if the user wants to overwrite the OCR data. The user should reply to overwrite the OCR data if applicable.
- Upon completion of the Batch Header Sheet, the system will display the first form in the batch containing an OCR error. (See Figure 3). The screen layout is the same as described for the Batch Header Sheet above.

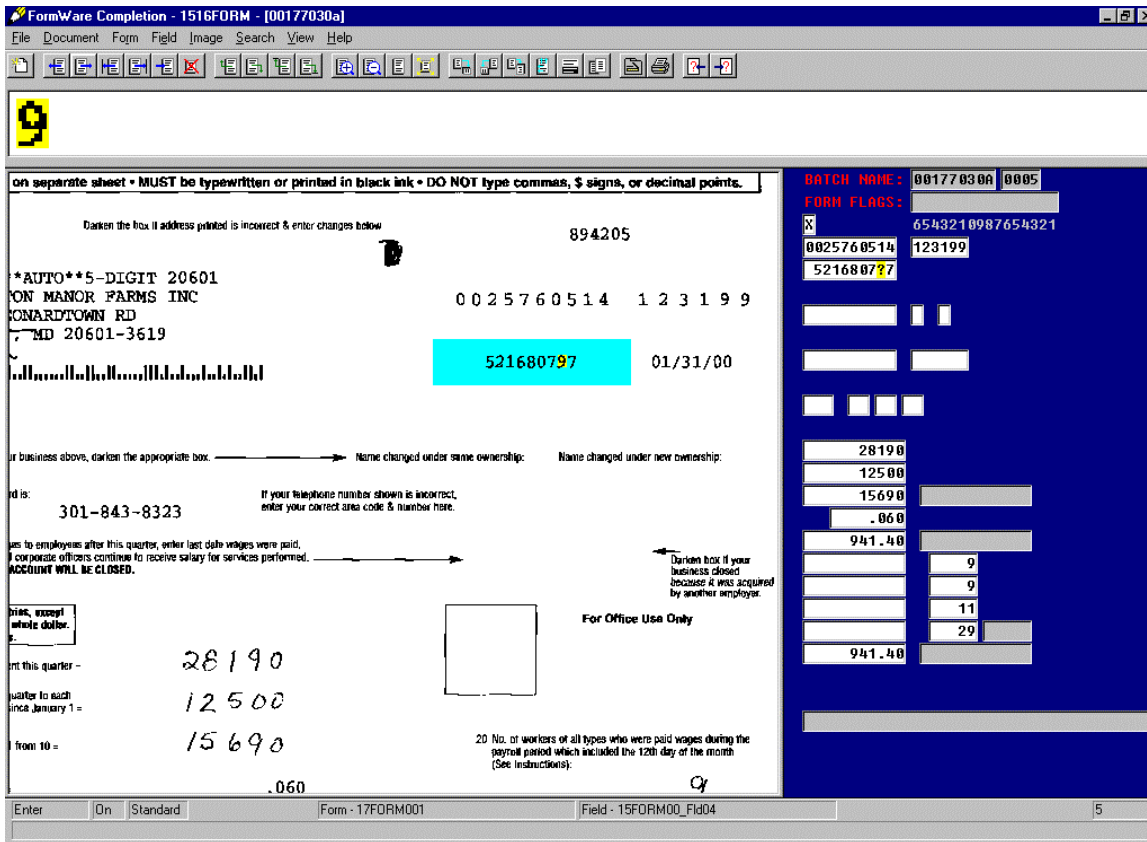


Figure 3: 15 and 17 Form OCR Verification

- The image is displayed on the left side of the screen and the form correction window is displayed on the right side of the screen. OCR errors are displayed by a yellow highlighted square on the image and the data form.
- The OCR verification module provides for sequential processing of the OCR errors. Errors on the form are highlighted in several manners:
  - The questionable character(s) is displayed in the Ticker Tape window, located in the top left corner of the screen. Figure 3 shows the number '9' in the Ticker Tape.

- The field on the image area containing the characters from which the OCR error occurred is highlighted, with the questionable character shown in yellow. Figure 3 above shows the highlighted field '521680797' and the number '9' of that field is highlighted.
  - The data form shows the OCR data for the fields. The character(s) for the current field being edited are highlighted. Figure 3 above shows the data window field that corresponds to the image field. The character that needs correction is denoted with a '?' mark.
- If the system could not recognize the entire field, the data in error will be noted on the Ticker Tape with an arrow symbol (↓). To correct, type the data into the corresponding field in the data window.
  - Press the **Enter** key to move to the next error on the form. Use the appropriate system Hot Keys to facilitate processing the form. (Please refer to Appendix A for the list of Hot Keys and their functions.)
  - Upon completion of OCR errors on the current form, the next form in the batch containing an error is displayed. Only forms that have errors are displayed to the user. The system displays the number of the form being processed in the bottom right corner of the screen. In Figure 3 above, the system is currently displaying the 5<sup>th</sup> form, as indicated by the number '5' shown.
  - Continue processing all forms in the batch until all corrections have been made. When the last form in the batch is processed, the system moves the batch to the next queue - Rules Validation. Instructions for this process are detailed below.
  - Upon completion of all forms in the batch, if there are no more batches to be processed, the system displays the message: “Unable to continue, no batches are currently awaiting processing in JobFlow...” as shown in Figure 4 below.
  - To exit forms verification, click **Cancel** to close the task. (By clicking on "OK", the system will continue to search for more batches.)

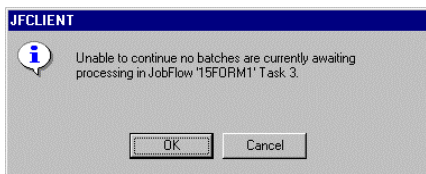


Figure 4: No More Batches to Process

- If there are more 15/17 OCR batches to process, the next available batch will be immediately presented to the user, and the Batch Header sheet for that batch will display.
- If the user does not wish to process another batch, the batch may be returned to the queue by selecting the "**Interrupt**" option from the File menu. The system will display a dialog box confirming the user's request to interrupt the batch. The user should click "**OK**" to proceed. All user corrections made to that point are saved. A batch may be returned to the queue at any time. If there are still forms to be processed in a batch, it will be available to another user for processing.

**Rules Validation: 15 and 17 Forms**

**Rules validation on a batch is performed after the user has performed OCR correction on the forms in the batch. The user may not necessarily perform rules validation on the same batch(es) as the ones on which that user performed OCR verification. Specifically, the system is designed such that different users may simultaneously perform OCR correction and rules validation on different batches.**

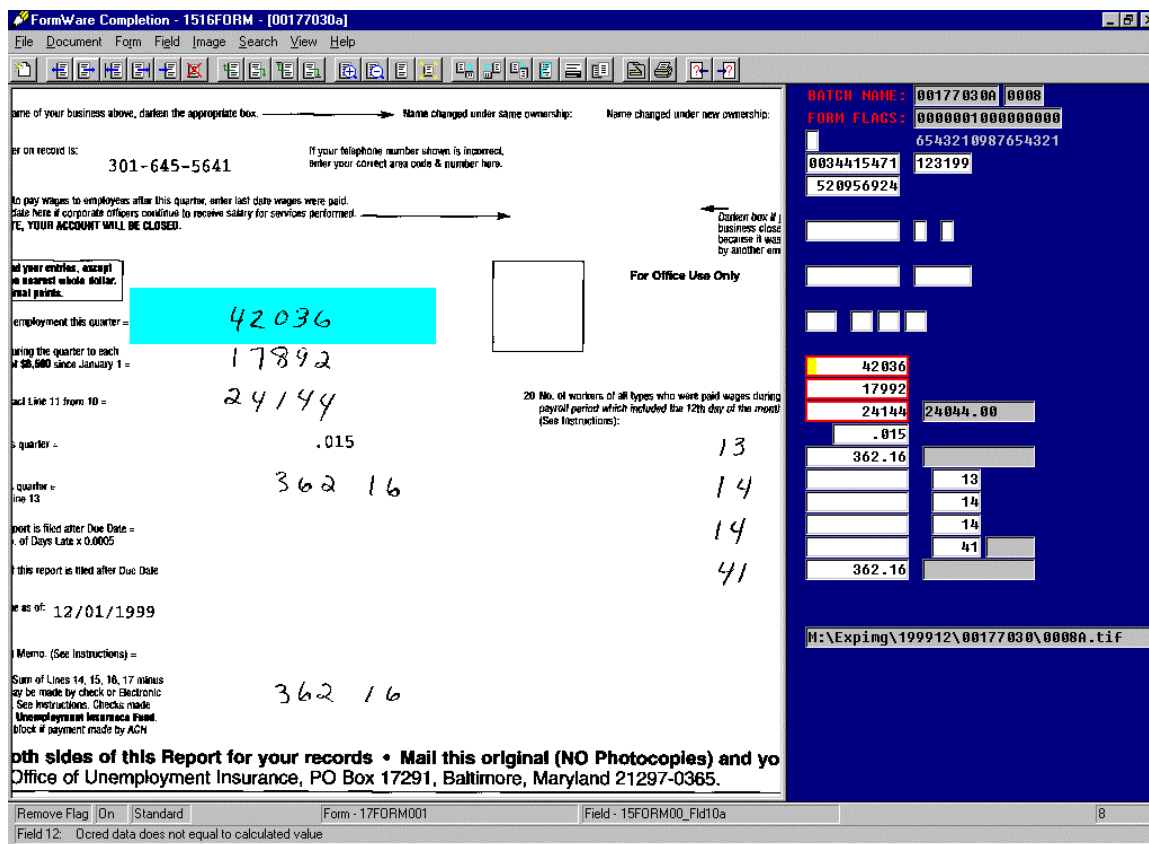


Figure 5: 15 and 17 Rules Validation

To implement Rules Validation on Form 15 and 17:

- **Double-Click** on the “15FORM\_rule” icon on the desktop as shown in Figure 1, or select from the Start menu.



- The first form requiring mathematical correction is displayed. (See Figure 5, above.) Note that the image window is on the left side of the screen and the form correction window is on the right side of the screen.
- Fields requiring correction are highlighted in the form window by a red box, as shown in Figure 5. The message bar at the bottom left corner of the screen describes the error. The system provides the calculated amount that is expected based on the numerical information processed from the form. If the calculated amount does not equal the amount shown on the form, it produces an error for the user to validate.
- Beginning with the first box highlighted in red, check the field to see if the OCR data results match the original image data. Make any data corrections in the form correction window. As the corrections are made, the red highlighted boxes will be eliminated. If the editing fails rule checking, the edited data will be re-highlighted and the user must re-check and re-correct the data. Rule checking can be bypassed by pressing **F3**. (Please refer to the Hot Key list in Appendix A.)
- After all rule corrections for the current form are successfully processed, the next form requiring rule correction is displayed.
- When there are no more batches to be processed, the system will display the message “Unable to continue, no batches are currently awaiting processing in JobFlow...” (Refer to Figure 6 below.) If additional batches are available, the next one will immediately display. The user may continue processing or return this batch to the queue using the “**Interrupt**” file menu option.

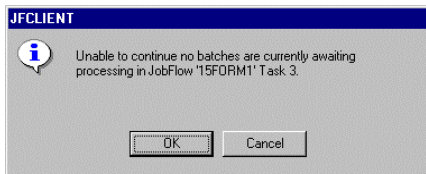


Figure 6: No More Batches to Process

- To exit rules validation, click **Cancel** to end this task. (By clicking on “OK” the system will continue to poll for more batches.)

### OCR Correction: Form 16 and 18

OCR verification on the 16 and 18 forms is done in the same manner as for the 15 and 17 forms. The screen is designed with the same basic format, to match the 16/18 form layout.

(See Figure 7 below.)



- Upon completion of all OCR errors on the current form, the next form in the batch that contains an error will be displayed. (Only forms containing errors are displayed.) The system displays the number of the form being processed in the bottom right corner of the screen.
- Upon completion of all forms in the batch and there are no more batches to be processed, the system displays the message: “ Unable to continue, no batches are currently awaiting processing in JobFlow...” as shown above.
- If additional batches are available for processing, the next one will display immediately. The user may continue processing, or return this batch to the queue.
- Click **Cancel** to close this task. (By clicking on “OK” the system will continue to search for more batches.)

### **Rule Correction: Form 16 and 18**

Rule correction on the 16 and 18 forms is done in the same manner as for the 15 and 17 forms. The screen is designed with the same basic format, to match the 16/18 form layout.

To perform Rule Correction on Form 16 (or 18):

- Double-Click on the 16FORM\_rule icon on the desktop, as shown for 15 Form OCR correction, or select from the Start menu.
- The first form that needs rule correction is displayed as shown below in Figure 8. The image window is on the left side and the form correction window is on the right side.

FormWare Completion - 1516FORM - [00170034b]

File Document Form Field Image Search View Help

220849932	D	EDW	666.79
220905474	B	GRI	3088.10
220927251	R	HAL	.
226451113	R	BRA	762.18
238986391	C	EDW	661.34
259237273	J	SIN	.
277744519	D	MAC	11288.61
372808706	J	GRI	8900.00
374866179	C	GRI	5632.98
382660320	M	MAR	4541.19
412026205	B	PEN	4393.95
461818390	S	HEI	11499.70
475908110	H	GAR	11285.69
521118385	L	BOM	3352.32
554352911	L	GRI	1688.98
009684258	C	CRA	8503.56

BATCH NAME: 00170034B 0006  
FORM FLAGS: 001000000000000  
6543210987654321  
0049982046 063099 0031

220849932	D	EDW	666.79
220905474	B	GRI	3088.10
226451113	R	BRA	762.18
238986391	C	EDW	661.34
279744519	D	MAC	11288.61
372808706	J	GRI	8900.00
374866179	C	GRI	5632.98
382660320	M	MAR	4541.19
412026205	B	PEN	4393.95
461818390	S	HEI	11499.70
475908110	H	GAR	11285.69
521118385	L	BOM	3352.32
554352911	L	GRI	1688.98
009684258	C	CRA	8503.56
018502307	H	GAY	9177.61
016581767	S	PRU	5879.26
023623795	J	WAG	10011.21
029528898	S	KAM	7078.04
			108471.51
Calculated	SUM:		108411.51

M:\Expimg\199912\00170034\0006B.tif

Remove Flag On Standard Form: 16FORM001 Field: 16FORM00\_Fld0801a 6

Field 09: Ocred data does not equal to calculated value

Figure 8: 16 and 18 Form Rules Validation

- The fields that need rule correction will display in the form window with a red highlight box, as shown above in Figure 8. The reason is displayed on the message bar on the bottom left corner of the screen.
- Beginning with the first highlighted box, check the image to see if the OCR data results match the original data on the image. Make any data corrections in the form correction window. As the corrections are made, the red highlighted boxes will be eliminated. After editing, if the form fails rule checking, the questionable fields will be highlighted again.
- After all rule corrections are successfully processed, the system will display the next form that has a rule correction.
- After all forms in a batch have been completed, and there are no batches that are to be processed the system will display the message “Unable to continue. No batches are currently waiting processing in jobflow...”
- If additional batches are available, the next one will immediately display. The user may continue processing, or return this batch to the queue.
- To exit the process, click **Cancel**. (By clicking "OK" the system will continue to search for more batches.)

APPENDIX A: Forms Processing Hot Keys

<b>Key Sequence</b>	<b>Function</b>	<b>Description</b>
F2	Auto on/off	Allows user to move back to previous fields to perform edits.
F3	Field Bypass	Moves the user to the next error field without requiring a field correction
F4	Form Bypass	Moves the user to the next error form in the batch without requiring further edits (current edits will be accepted)
F5	Zoom In	Zooms the image in
F6	Zoom Out	Zooms the image out
F7	Field Delete	Deletes the current field
F8	Field Replace	Replaces the current field with the system calculated field
F9	Send to Workflow	Flags the form to be sent to workflow
Shift F2	Send to Rescan	Flags the form to be rescanned

# ATTACHMENT 14 – CONTRIBUTION REPORT SAMPLE

## Maryland Unemployment Insurance Quarterly Contribution Report

171717

Do Not Staple Anything To This Form

1234567890

If typed, disregard vertical bars, type a consecutive string of characters. Exclude decimal point on lines 10, 11 and 12. Include decimal point on lines 14, 15, 16, 18 and 19. If hand printed, print your characters in CAPS and within boxes as shown below.

0 1 2 3 4 5 6 7 8 9 A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

DO NOT enter commas or \$ signs.

E-MAIL ADDRESS:

1) If your e-mail address, name, and/or mailing address need(s) correction, enter changes below and darken the box

MAILING ADDRESS

D.B.A. NAME

2) EMPLOYER NUMBER

3) FOR QTR ENDING

MMDDYY

4) FEDERAL ID NUMBER

5) DUE DATE

6) If your Federal ID No. shown is incorrect, enter correct Number here.

7) If you changed the name of your business above, darken the appropriate box. Name changed under same ownership:  Name changed under new ownership:

8) Your telephone number on record is: EMPLOYER'S TELEPHONE NO. If your telephone number shown is incorrect, enter your correct area code & number here.

9) If you do not expect to pay wages to employees after this quarter, enter last date wages were paid. Note: DO NOT enter date here if corporate officers continue to receive salary for services performed. IF YOU ENTER A DATE, YOUR ACCOUNT WILL BE CLOSED. MMDDYY  Darken box if your business closed because it was acquired by another employer.

When completing lines 10 through 12, round your entries to the nearest whole dollar. Omit commas, decimal points and \$ signs. If you are reporting no wages paid, enter 0 on lines 10 and 12.

10) Total Wages paid for employment this quarter = (See Instructions)

11) Excess wages paid during the quarter to each employee in excess of \$8,500 since January 1 = (See Instructions)

12) Taxable wages: subtract Line 11 from 10 =

For Office Use Only

CR CB NO 16

13) Your Tax Rate for this quarter =

14) Contributions for this quarter = Multiply Line 12 by Line 13

15) Add interest if this report is filed after Due Date = Multiply Line 14 x No. of Days Late x 0.0005

16) Add \$35.00 Penalty if this report is filed after Due Date

17) Add Prior Balance Due as of: (See Instructions)

18) Less Approved Credit Memo. (See Instructions) =

19) NET PAYMENT DUE: Sum of Lines 14, 15, 16, and 17 minus Line 18. Payment may be made by check, credit card, ACH debit or ACH credit transaction. See instructions. Make checks payable to: Maryland Unemployment Insurance Fund.

20) No. of workers of all types who were paid wages during the payroll period which included the 12th day of the month (See Instructions):

1st MONTH +

2nd MONTH +

3rd MONTH +

TOTAL OF 3 MONTHS =

21) Signature Date (MMDDYY)

22) Signature below certifies that the information contained herein is true and correct to the best of the signer's knowledge

Photocopy both sides of this Report for your records • Mail this original (NO Photocopies) and your check to: Office of Unemployment Insurance, PO Box 17291, Baltimore, Maryland 21297-0365.

State of Maryland • Department of Labor Licensing and Regulation • Office of Unemployment Insurance  
 Telephones: Baltimore Metropolitan Area: (410) 767-2412  
 Toll Free within Maryland: 1-800-492-5524  
 Internet Address: www.dlr.state.md.us

# ATTACHMENT 15 – CONTRIBUTION EMPLOYMENT REPORT SAMPLE

181818

## Maryland Unemployment Insurance Quarterly Employment Report

Round your entries to the nearest whole dollar.  
Omit dashes in social security numbers and commas and decimal points in wage amounts.  
Example: Round 4,143.27 to 4143

Valid reasons for not entering wages on this page follow:

1. No wages were paid to employees this quarter and you choose to file this paper report instead of filing your no wage report by telephone, or
2. You choose to file this paper report and your wages are reported on magnetic media

Note: If you paid wages to employees and your wages are not filed via the Internet, telephone or on magnetic media, this form and agency supplied continuation sheets must be used for reporting wages.

1) EMPLOYER NAME				2) EMPLOYER NUMBER				3) FOR QTR ENDING				4) DUE DATE			
								MMDDYY							

	5) EMPLOYEE'S SOC. SEC. NO.	6) FIRST LETTER OF EMPLOYEE'S FIRST NAME	7) FIRST THREE LETTERS OF EMPLOYEE'S LAST NAME	8) EMPLOYEE'S WAGES
1				\$ \$ \$ \$ \$ \$ \$ \$
2				\$ \$ \$ \$ \$ \$ \$ \$
3				\$ \$ \$ \$ \$ \$ \$ \$
4				\$ \$ \$ \$ \$ \$ \$ \$
5				\$ \$ \$ \$ \$ \$ \$ \$
6				\$ \$ \$ \$ \$ \$ \$ \$
7				\$ \$ \$ \$ \$ \$ \$ \$
8				\$ \$ \$ \$ \$ \$ \$ \$
9				\$ \$ \$ \$ \$ \$ \$ \$
10				\$ \$ \$ \$ \$ \$ \$ \$
11				\$ \$ \$ \$ \$ \$ \$ \$
12				\$ \$ \$ \$ \$ \$ \$ \$
13				\$ \$ \$ \$ \$ \$ \$ \$
14				\$ \$ \$ \$ \$ \$ \$ \$
15				\$ \$ \$ \$ \$ \$ \$ \$
16				\$ \$ \$ \$ \$ \$ \$ \$
17				\$ \$ \$ \$ \$ \$ \$ \$
18				\$ \$ \$ \$ \$ \$ \$ \$
19				\$ \$ \$ \$ \$ \$ \$ \$
20				\$ \$ \$ \$ \$ \$ \$ \$
21				\$ \$ \$ \$ \$ \$ \$ \$
22				\$ \$ \$ \$ \$ \$ \$ \$

DO NOT INCLUDE CENTS



9) TOTAL WAGES THIS PAGE = \$ \$ \$ \$ \$ \$ \$ \$





# ATTACHMENT 17 – DLLR RESOURCES AND DATA SHARING AGREEMENT

## Confidentiality Certification Form

I understand that I will or may be exposed to certain confidential data maintained by the Maryland Department of Labor, Licensing and Regulation ("DLLR") which was released to my employer, the

\_\_\_\_\_.

These confidential records include data related to participants who have or are currently receiving employment, training or Unemployment Insurance services.

**I understand that I may use the data only in conjunction with certain duties with respect to my employment, as specifically described below:**

\_\_\_\_\_

\_\_\_\_\_

I agree to retain original data files, and any derivative files that contain identification of employers and employees, only for the period of time required to complete the explicitly stated purposes above. When these purposes are completed, I agree to immediately notify DLLR to either return the files or certify destruction of the files in writing within 10 days of such notice.

I understand that I may not discuss with or reveal to anyone, in any manner, any of the information I obtain from that data, except to other persons also having authorization to this data, and only for purposes of performing my duties as set forth above. I understand that I may not reveal such information to my friends or family, nor use the information for any personal, commercial, or political use.

I understand that the data is confidential and protected by federal and state laws, and that if I improperly use or reveal this confidential information, I may be subject to prosecution, fines, imprisonment, or other sanctions permissible under law. I understand and agree that I will be liable for any damages resulting from my release of confidential information.

I have read this entire statement and understand that the confidential data must be used only for the specific purpose set forth above and that use of this information for any other purpose is strictly prohibited.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name - Print or Type

\_\_\_\_\_  
Date