



**STATE OF MARYLAND**

**DEPARTMENT OF NATURAL RESOURCES (DNR)**

**REQUEST FOR PROPOSALS (RFP)**

**ECONOMIC STUDIES INTEGRATOR -- TECHNICAL  
ASSISTANCE IN ELECTRIC UTILITY ECONOMICS**

**RFP NUMBER K00R9400197A**

**ISSUE DATE: MAY 30, 2019**

**NOTICE**

A Prospective Offeror that has received this document from a source other than eMarylandMarketplace (eMM) <https://emaryland.buyspeed.com/bsol/> should register on eMM. See **Section 4.2**.

**MINORITY BUSINESS ENTERPRISES ARE ENCOURAGED TO  
RESPOND TO THIS SOLICITATION.**

**VENDOR FEEDBACK FORM**

To help us improve the quality of State solicitations, and to make our procurement process more responsive and business friendly, please provide comments and suggestions regarding this solicitation. Please return your comments with your response. If you have chosen not to respond to this solicitation, please email or fax this completed form to the attention of the Contract Manager (see Key Information Summary Sheet below for contact information).

**Title: Economic Studies Integrator -- Technical Assistance in Electric Utility Economics  
Solicitation No: K00R9400197A**

1. If you have chosen not to respond to this solicitation, please indicate the reason(s) below:
  - ☐ Other commitments preclude our participation at this time
  - ☐ The subject of the solicitation is not something we ordinarily provide
  - ☐ We are inexperienced in the work/commodities 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 is simply too complicated. (Explain in REMARKS section)
  - ☐ We cannot be competitive. (Explain in REMARKS section)
  - ☐ Time allotted for completion of the Proposal is insufficient
  - ☐ Start-up time is insufficient
  - ☐ Bonding/Insurance requirements are restrictive (Explain in REMARKS section)
  - ☐ Proposal requirements (other than specifications) are unreasonable or too risky (Explain in REMARKS section)
  - ☐ MBE or VSBE 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 response to this solicitation, but wish to offer suggestions or express concerns, please use the REMARKS section below. (Attach additional pages as needed.)

**REMARKS:**

---

---

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

Contact Person: \_\_\_\_\_ Phone (\_\_\_\_) \_\_\_\_ - \_\_\_\_\_

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

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

**STATE OF MARYLAND**  
**DEPARTMENT OF NATURAL RESOURCES (DNR)**  
**KEY INFORMATION SUMMARY SHEET**

<b>Request for Proposals</b>	Services - Economic Studies Integrator -- Technical Assistance in Electric Utility Economics
<b>Solicitation Number:</b>	K00R9400197A
<b>RFP Issue Date:</b>	May 30, 2019
<b>RFP Issuing Office:</b>	Department of Natural Resources (DNR or the "Department")
<b>Procurement Officer:</b>  <b>e-mail:</b> <b>Office Phone:</b>	Ms. Shiela Harrison Department of Natural Resources <a href="mailto:Shiela.Harrison@maryland.gov">Shiela.Harrison@maryland.gov</a> (410) 260-8500
<b>Contract Manager</b>	Ms. Helen Stewart Department of Natural Resources Power Plant Research Program <a href="mailto:Helen.Stewart@maryland.gov">Helen.Stewart@maryland.gov</a> (41) 260-8667
<b>Proposals are to be sent to:</b>	Department of Natural Resources Resource Assessment Service Power Plant Research Program Tawes State Office Bldg. B-3 580 Taylor Avenue Annapolis, MD 21401 Attention: Ms. Gayle Moreland
<b>Pre-Proposal Conference:</b>	June 13, 2019, 2:00 PM (Local Time) Department of Natural Resources 580 Taylor Avenue C-1 Conference Room Annapolis, MD 21401 See <b>Attachment A</b> for directions and instructions.
<b>Questions Due Date and Time</b>	June 27, 2019
<b>Proposal Due (Closing) Date and Time:</b>	July 11, 2019, 2:00 PM Offerors are reminded that a completed Feedback Form is requested if a no-bid decision is made (see <b>page iv</b> ).
<b>MBE Subcontracting Goal:</b>	Functional Area A (Power Plant Planning & Licensing): 15% Functional Area B (Transmission Line Planning & Licensing): 15% Functional Area C (Program Support and Reports): 15% Functional Area D (Long-Term Electricity Report): 15%

<b>VSBE Subcontracting Goal:</b>	Functional Area A (Power Plant Planning & Licensing): 1% Functional Area B (Transmission Line Planning & Licensing): 1% Functional Area C (Program Support and Reports): 1% Functional Area D (Long-Term Electricity Report): 1%
<b>Contract Type:</b>	Each Contract resulting from this solicitation shall be for an indefinite amount of labor that establishes unit prices of a fixed-price type in accordance with COMAR 21.06.03.06(2) and which provides for reimbursement for allowable costs but not fee for unforeseen extraordinary expenses in accordance with COMAR 21.06.03.03A(1).
<b>Contract Duration:</b>	The term of each Contract begins on the date the Contract is signed by the Department following any required approvals of the Contract(s), including approval by the Board of Public Works, if such approval is required. The Contractor shall provide services under this Contract as of the Go-Live date contained in the written Notice to Proceed. From this Go-Live date, the contract shall be for a period of approximately five (5) years.
<b>Primary Place of Performance:</b>	As proposed by Offeror
<b>SBR Designation:</b>	No
<b>Federal Funding:</b>	No

## TABLE OF CONTENTS – RFP

<b>1</b>	<b>Minimum Qualifications.....</b>	<b>1</b>
1.1	Offeror Minimum Qualifications.....	1
<b>2</b>	<b>Contractor Requirements: Scope of Work .....</b>	<b>2</b>
2.1	Summary Statement.....	2
2.2	Background and Purpose .....	2
2.3	Responsibilities and Tasks.....	2
2.4	Deliverables .....	3
2.5	Service Level Agreement (SLA) .....	4
<b>3</b>	<b>Contractor Requirements: General.....</b>	<b>5</b>
3.1	Contract Initiation Requirements.....	5
3.2	End of Contract Transition .....	5
3.3	Invoicing.....	6
3.4	Liquidated Damages .....	9
3.5	Disaster Recovery and Data .....	9
3.6	Insurance Requirements .....	10
3.7	Security Requirements.....	11
3.8	Problem Escalation Procedure.....	11
3.9	SOC 2 Type 2 Audit Report .....	12
3.10	Experience and Personnel.....	12
3.11	Substitution of Personnel.....	13
3.12	Minority Business Enterprise (MBE) Reports.....	16
3.13	Veteran Small Business Enterprise (VSBE) Reports .....	17
3.14	Work Orders .....	17
3.15	Additional Clauses.....	18
<b>4</b>	<b>Procurement Instructions.....</b>	<b>19</b>
4.1	Pre-Proposal Conference .....	19
4.2	eMaryland Marketplace (eMM) .....	19
4.3	Questions .....	19
4.4	Procurement Method .....	19
4.5	Proposal Due (Closing) Date and Time.....	19
4.6	Multiple or Alternate Proposals.....	20

4.7	Economy of Preparation .....	20
4.8	Public Information Act Notice .....	20
4.9	Award Basis.....	20
4.10	Oral Presentation .....	20
4.11	Duration of Proposal.....	21
4.12	Revisions to the RFP .....	21
4.13	Cancellations .....	21
4.14	Incurred Expenses .....	21
4.15	Protest/Disputes .....	21
4.16	Offeror Responsibilities.....	22
4.17	Acceptance of Terms and Conditions.....	22
4.18	Proposal Affidavit .....	22
4.19	Contract Affidavit.....	22
4.20	Compliance with Laws/Arrearages .....	22
4.21	Verification of Registration and Tax Payment .....	23
4.22	False Statements .....	23
4.23	Payments by Electronic Funds Transfer .....	23
4.24	Prompt Payment Policy .....	23
4.25	Electronic Procurements Authorized.....	24
4.26	MBE Participation Goal .....	25
4.27	VSBE Goal .....	27
4.28	Living Wage Requirements .....	29
4.29	Federal Funding Acknowledgement.....	30
4.30	Conflict of Interest Affidavit and Disclosure .....	30
4.31	Non-Disclosure Agreement .....	30
4.32	HIPAA - Business Associate Agreement .....	30
4.33	Nonvisual Access .....	31
4.34	Mercury and Products That Contain Mercury .....	31
4.35	Location of the Performance of Services Disclosure .....	31
4.36	Department of Human Services (DHS) Hiring Agreement .....	31
4.37	Small Business Reserve (SBR) Procurement .....	31
4.38	Contract Labor Category Rate Adjustments.....	31
<b>5</b>	<b>Proposal Format .....</b>	<b>33</b>
5.1	Two Part Submission.....	33

5.2	Proposal Delivery and Packaging.....	33
5.3	Volume I - Technical Proposal.....	34
5.4	Volume II – Financial Proposal.....	41
<b>6</b>	<b>Evaluation and Selection Process.....</b>	<b>42</b>
6.1	Evaluation Committee.....	42
6.2	Technical Proposal Evaluation Criteria.....	42
6.3	Financial Proposal Evaluation Criteria.....	42
6.4	Reciprocal Preference.....	42
6.5	Selection Procedures.....	43
6.6	Documents Required upon Notice of Recommendation for Contract Award.....	43
<b>7</b>	<b>RFP ATTACHMENTS AND APPENDICES.....</b>	<b>44</b>
<b>Attachment A.</b>	<b>Pre-Proposal Conference Response Form.....</b>	<b>48</b>
<b>Attachment B.</b>	<b>Financial Proposal Instructions &amp; Form.....</b>	<b>49</b>
<b>Attachment C.</b>	<b>Proposal Affidavit.....</b>	<b>51</b>
<b>Attachment D.</b>	<b>Minority Business Enterprise (MBE) Forms.....</b>	<b>52</b>
<b>Attachment E.</b>	<b>Veteran-Owned Small Business Enterprise (VSBE) Forms.....</b>	<b>53</b>
<b>Attachment F.</b>	<b>Maryland Living Wage Affidavit of Agreement for Service Contracts.....</b>	<b>54</b>
<b>Attachment G.</b>	<b>Federal Funds Attachments.....</b>	<b>56</b>
<b>Attachment H.</b>	<b>Conflict of Interest Affidavit and Disclosure.....</b>	<b>57</b>
<b>Attachment I.</b>	<b>Non-Disclosure Agreement (Contractor).....</b>	<b>58</b>
<b>Attachment J.</b>	<b>HIPAA Business Associate Agreement.....</b>	<b>59</b>
<b>Attachment K.</b>	<b>Mercury Affidavit.....</b>	<b>60</b>
<b>Attachment L.</b>	<b>Location of the Performance of Services Disclosure.....</b>	<b>61</b>
<b>Attachment M.</b>	<b>Contract.....</b>	<b>62</b>
<b>Attachment N.</b>	<b>Contract Affidavit.....</b>	<b>78</b>
<b>Attachment O.</b>	<b>DHS Hiring Agreement.....</b>	<b>79</b>
<b>Attachment P.</b>	<b>Functional Area Scopes of Work.....</b>	<b>80</b>
	ATTACHMENT P-1 FUNCTIONAL AREA A (FAA).....	80
	ATTACHMENT P-2 FUNCTIONAL AREA B (FAB).....	87

ATTACHMENT P-3 FUNCTIONAL AREA C (FAC)..... 92

ATTACHMENT P-4 FUNCTIONAL AREA D (FAD) ..... 97

**Attachment Q.    Work order Process for Extraordinary Services and Equipment Purchases ..... 101**

**Appendix 1.       Abbreviations and Definitions..... 102**

**Appendix 2.       Offeror Information Sheet..... 106**



## 1 Minimum Qualifications

### 1.1 Offeror Minimum Qualifications

- 1.1.1 To be considered reasonably susceptible of being selected for award, the Offeror shall have five (5) years of experience in the field of electric utilities economics and in state-level energy policy analysis, planning and implementation.
- 1.1.2 To demonstrate experience, the Offeror will provide with its RFP response a portfolio of past work and three client references (organization's name, contact name, contact's phone number).

**THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK.**

## 2 Contractor Requirements: Scope of Work

### 2.1 Summary Statement

- 2.1.1 The Department of Natural Resources (DNR or the "Department") Power Plant Research Program (PPRP) is issuing this Request for Proposals to provide a continuing program for evaluating economic issues related to electric generation and transmission and recommendation of long-term solutions.
- 2.1.2 It is the State's intention to obtain services, as specified in this RFP, from multiple Contractors between selected Offerors and the State.
- 2.1.3 The Department intends to complete up to four (4) awards based on different Functional Areas as a result of this RFP. See RFP **Section 4.9 Award Basis** for more Contract award information.
- 2.1.4 An Offeror, either directly or through its subcontractor(s), must be able to provide all services within a given Functional Area and meet all of the requirements requested in this solicitation, and the successful Offeror(s) (the Contractor(s)) shall remain responsible for Contract performance regardless of subcontractor participation in the work.

### 2.2 Background and Purpose

The State is issuing this solicitation for the purpose of providing the Power Plant Research Program (PPRP) with services of up to four (4) Contractors to provide technical assistance as it relates to the siting, licensing and operation of electric power plants and ancillary facilities including solid waste disposal and transmission lines within or affecting Maryland; to update the Long-term Electricity Report for Maryland; and to provide technical assistance in the area of energy economics for PPRR, including preparing reports on an as-needed basis. PPRP is administered through the Department of Natural Resources (DNR) Resource Assessment Program. For additional information about PPRP, go to [www.dnr.maryland.gov/pprp/](http://www.dnr.maryland.gov/pprp/).

### 2.3 Responsibilities and Tasks

Responsibilities and tasks for each Functional Area is provided in Attachments P-1 to P-4.

Attachment P-1: Functional Area A (Power Plant Planning & Licensing)

Attachment P-2: Functional Area B (Transmission Line Planning & Licensing)

Attachment P-3: Functional Area C (Program Support and Reports)

Attachment P-4: Functional Area D (Long-Term Electricity Report)

#### 2.3.1 Contractor-Supplied Hardware, Software, and Materials

- A. The Contractor is responsible for the acquisition and operation of all hardware, software and network support related to the services being provided, and shall keep all software current.
- B. All Upgrades and regulatory updates shall be provided at no additional cost.
- C. The State also requires that the Offeror provide fully functional, generally available software and multiple-user licenses for purchase as needed throughout the life of the Contract.

#### 2.3.2 Required Project Policies, Guidelines and Methodologies

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

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

- A. The State of Maryland System Development Life Cycle (SDLC) methodology at: <http://doit.maryland.gov/SDLC/Pages/agile-sdlc.aspx>;
- B. The State of Maryland Information Technology Security Policy and Standards at: <http://www.DoIT.maryland.gov>- keyword: Security Policy; and,
- C. The State of Maryland Information Technology Non-Visual Standards at: <http://doit.maryland.gov/policies/Pages/ContractPolicies.aspx>.

## **2.4 Deliverables**

### **2.4.1 Deliverable Submission**

- A. For each deliverable, the Contractor shall request the Contract Monitor confirm receipt of that deliverable by sending an e-mail identifying the deliverable name and date of receipt.
- B. Unless specified otherwise, written deliverables shall be compatible with Microsoft Office, Microsoft Project or Microsoft Visio within two (2) versions of the current version. At the Contract Monitor's discretion, the Contract Monitor may request one hard copy of a written deliverable. A standard deliverable review cycle will be elaborated and agreed-upon between the State and the Contractor. This review process is entered into when the Contractor completes a deliverable.
- C. A standard deliverable review cycle will be elaborated and agreed-upon between the State and the Contractor. This review process is entered into when the Contractor completes a deliverable.
- D. For any written deliverable, the Contract Monitor may request a draft version of the deliverable, to comply with the minimum deliverable quality criteria listed in **Section B Minimum Deliverable Quality**. Drafts of each final deliverable, except status reports, are required at least two weeks in advance of when the final deliverables are due (with the exception of deliverables due at the beginning of the project where this lead time is not possible, or where draft delivery date is explicitly specified). Draft versions of a deliverable shall comply with the minimum deliverable quality criteria listed in **Section B Minimum Deliverable Quality**.

### **2.4.2 Deliverable Acceptance**

- A. A final deliverable shall satisfy the scope and requirements of this RFP for that deliverable.
- B. The Contract Monitor shall review a final deliverable to determine compliance with the acceptance criteria as defined for that deliverable. The Contract Monitor is responsible for coordinating comments and input from various team members and stakeholders. The Contract Monitor is responsible for providing clear guidance and direction to the Contractor in the event of divergent feedback from various team members.
- C. In the event of rejection, the Contract Monitor will formally communicate in writing any deliverable deficiencies or non-conformities to the Contractor, describing in those deficiencies what shall be corrected prior to acceptance of the deliverable in sufficient detail for the Contractor to address the deficiencies. The Contractor shall correct deficiencies and resubmit the corrected deliverable for acceptance within the agreed-upon time period for correction.

### **2.4.3 Minimum Deliverable Quality**

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

Each deliverable shall meet the following minimum acceptance criteria:

- A. Be presented in a format appropriate for the subject matter and depth of discussion.
- B. Be organized in a manner that presents a logical flow of the deliverable's content.
- C. Represent factual information reasonably expected to have been known at the time of submittal.
- D. In each section of the deliverable, include only information relevant to that section of the deliverable.
- E. Contain content and presentation consistent with industry best practices in terms of deliverable completeness, clarity, and quality.
- F. Meets the acceptance criteria applicable to that deliverable, including any State policies, functional or non-functional requirements, or industry standards.
- G. Contains no structural errors such as poor grammar, misspellings or incorrect punctuation.
- H. Must contain the date, author, and page numbers. When applicable for a deliverable, a revision table must be included.
- I. A draft written deliverable may contain limited structural errors such as incorrect punctuation, and shall represent a significant level of completeness toward the associated final written deliverable. The draft written deliverable shall otherwise comply with minimum deliverable quality criteria above.

## **2.5 Service Level Agreement (SLA)**

THIS SECTION IS INAPPLICABLE TO THIS RFP.

### 3 Contractor Requirements: General

#### 3.1 Contract Initiation Requirements

Contractor shall schedule and hold a kickoff meeting within 10 Business Days of Notice to Proceed Date.

#### 3.2 End of Contract Transition

- 3.2.1 The Contractor shall provide transition assistance as requested by the State to facilitate the orderly transfer of services to the State or a follow-on contractor, for a period up to 60 days prior to Contract end date, or the termination thereof. Such transition efforts shall consist, not by way of limitation, of:
- A. Provide additional services and support as requested to successfully complete the transition;
  - B. Maintain the services called for by the Contract at the required level of proficiency;
  - C. Provide updated System Documentation (see Appendix 1), as appropriate; and
  - D. Provide current operating procedures (as appropriate).
- 3.2.2 The Contractor shall work toward a prompt and timely transition, proceeding in accordance with the directions of the Contract Monitor. The Contract Monitor may provide the Contractor with additional instructions to meet specific transition requirements prior to the end of the Contract.
- 3.2.3 The Contractor shall ensure that all necessary knowledge and materials for the tasks completed are transferred to the custody of State personnel or a third party, as directed by the Contract Monitor.
- 3.2.4 The Contractor shall support end-of-Contract transition efforts with technical and project support to include but not be limited to:
- A. The Contractor shall provide a draft Transition-Out Plan 120 Business Days in advance of Contract end date.
  - B. The Transition-Out Plan shall address at a minimum the following areas:
    - 1) Any staffing concerns/issues related to the closeout of the Contract;
    - 2) Communications and reporting process between the Contractor, the Department and the Contract Monitor;
    - 3) Security and system access review and closeout;
    - 4) Any hardware/software inventory or licensing including transfer of any point of contact for required software licenses to the Department or a designee;
    - 5) Any final training/orientation of Department staff;
    - 6) Connectivity services provided, activities and approximate timelines required for Transition-Out;
    - 7) Knowledge transfer, to include:
      - a) A working knowledge of the current system environments as well as the general business practices of the Department;
      - b) Review with the Department the procedures and practices that support the business process and current system environments;
      - c) Working knowledge of all technical and functional matters associated with the Solution, its architecture, data file structure, interfaces, any batch programs, and any hardware or software tools utilized in the performance of the Contract;

- d) Documentation that lists and describes all hardware and software tools utilized in the performance of the Contract;
  - e) A working knowledge of various utilities and corollary software products used in support and operation of the Solution;
- 8) Plans to complete tasks and any unfinished work items (including open change requests, and known bug/issues); and
- 9) Any risk factors with the timing and the Transition-Out schedule and transition process. The Contractor shall document any risk factors and suggested solutions.
- C. The Contractor shall ensure all documentation and data including, but not limited to, System Documentation and current operating procedures, is current and complete with a hard and soft copy in a format prescribed by the Contract Monitor.
- D. The Contractor shall provide copies of any current daily and weekly back-ups to the Department or a third party as directed by the Contract Monitor as of the final date of transition, but no later than the final date of the Contract.
- E. Access to any data or configurations of the furnished product and services shall be available after the expiration of the Contract.

### **3.3 Invoicing**

#### **3.3.1 General**

- A. The Contractor shall send the original of each invoice and signed authorization to invoice to the Contract Monitor and Tawanda Gambrills at email address: Tawanda.Gambrills@maryland.gov.
- B. All invoices for services shall be verified by the Contractor as accurate at the time of submission.
- C. An invoice not satisfying the requirements of a Proper Invoice (as defined at COMAR 21.06.09.01 and .02) cannot be processed for payment. To be considered a Proper Invoice, invoices must include the following information, without error:
  - 1) Contractor name and address;
  - 2) Remittance address;
  - 3) Federal taxpayer identification (FEIN) number, social security number, as appropriate;
  - 4) Invoice period (i.e. time period during which services covered by invoice were performed);
  - 5) Invoice date;
  - 6) Invoice number;
  - 7) State assigned Contract number;
  - 8) State assigned (Blanket) Purchase Order number(s);
  - 9) Goods or services provided;
  - 10) Amount due; and
  - 11) Any additional documentation required by regulation or the Contract.
- D. Invoices that contain both fixed price and time and material items shall clearly identify each item as either fixed price or time and material billing.

- E. The Department reserves the right to reduce or withhold Contract payment in the event the Contractor does not provide the Department with all required deliverables within the time frame specified in the Contract or otherwise breaches the terms and conditions of the Contract until such time as the Contractor brings itself into full compliance with the Contract.
- F. Any action on the part of the Department, or dispute of action by the Contractor, shall be in accordance with the provisions of Md. Code Ann., State Finance and Procurement Article §§ 15-215 through 15-223 and with COMAR 21.10.04.
- G. The State is generally exempt from federal excise taxes, Maryland sales and use taxes, District of Columbia sales taxes and transportation taxes. The Contractor; however, is not exempt from such sales and use taxes and may be liable for the same.
- H. 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 Contract. In no event shall any invoice be submitted later than 60 calendar days from the Contract termination date.

### 3.3.2 Invoice Submission Schedule

The Contractor shall submit invoices in accordance with the following schedule:

- A. For items of work for which there is one-time pricing (see **Attachment B** – Financial Proposal Form) those items shall be billed in the month following the acceptance of the work by the Department.
- B. For items of work for which there is annual pricing, see **Attachment B** – Financial Proposal Form, those items shall be billed in equal monthly installments for the applicable Contract year in the month following the performance of the services.

### 3.3.3 Time and Materials Invoicing

- A. All time and material invoices shall be accompanied by a signed timesheet as described below and notice(s) of acceptance issued by the State: DPAF for each time period invoiced (see online example at [http://doit.maryland.gov/contracts/Documents/\\_procurementForms/DeliverableProductAcceptanceForm-DPAFsample.pdf](http://doit.maryland.gov/contracts/Documents/_procurementForms/DeliverableProductAcceptanceForm-DPAFsample.pdf))>>. Include for each person covered by the invoice the following, individually listed per person: name, hours worked, hourly labor rate, invoice amount and a copy of each person’s timesheet for the period signed by the Contract Monitor.

- B. Time Sheet Reporting

Within three (3) Business Days after the 15th and last day of the month, the TO Contractor shall submit a monthly timesheet for the preceding month providing data for all resources provided under the Contract.

At a minimum, each monthly timesheet shall show:

- 1) Title: “Time Sheet for Economics RFP; Functional Area X”
- 2) Issuing company name, address, and telephone number;
- 3) For each employee /resource:
  - a) Employee / resource name, and
  - b) For each Period ending date, e.g., “Period Ending: mm/dd/yyyy” (Periods run 1st through 15th, and 16th through last day of the month.):
    - i) Tasks completed that week and the associated deliverable names and ID#s;
    - ii) Number of hours worked each day;

- iii) Total number of hours worked that Period;
  - iv) Period variance above or below 40 hours;
  - v) Annual number of hours planned under the Task Order;
  - vi) Annual number of hours worked to date; and
  - vii) Balance of hours remaining;
  - 4) Annual variance to date (Sum of periodic variances); and
  - 5) Signature and date lines for the Contract Monitor.
- C. Time sheets shall be submitted to the Contract Monitor prior to invoicing. The Contract Monitor shall sign the timesheet to indicate authorization to invoice.

**3.3.4 For the purposes of the Contract an amount will not be deemed due and payable if:**

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

**3.3.5 Travel Reimbursement**

- A. There shall be no reimbursement for Routine Travel. Contractor shall not be reimbursed for Non-Routine Travel without prior Contract Monitor approval.
- B. Routine Travel is defined as travel within a 50-mile radius of the Department's base location, as identified in the RFP, or the Contractor's facility, whichever is closer to the consulting site. There will be no payment for labor hours for travel time or reimbursement for any travel expenses for work performed within these radiuses or at the Contractor's facility.
- C. Non-routine Travel is defined as travel beyond the 50-mile radius of Department's base location, as identified in the RFP, or the Contractor's facility, whichever is closer to the consulting site. Non-routine travel will be reimbursed according to the State's travel regulations and reimbursement rates, which can be found at: [www.DBM.maryland.gov](http://www.DBM.maryland.gov) - search: Fleet Management. If non-routine travel is conducted by automobile, the first 50 miles of such travel will be treated as routine travel and as described in **Section 3.3..A**, and will not be reimbursed. The Contractor may bill for labor hours expended in non-routine traveling beyond the identified 50-mile radius, only if so specified in the RFP or Work Order.



### 3.4 Liquidated Damages

#### 3.4.1 MBE Liquidated Damages

MBE liquidated damages are identified in Attachment M.

#### 3.4.2 Liquidated Damages other than MBE

THIS SECTION IS INAPPLICABLE TO THIS RFP.

### 3.5 Disaster Recovery and Data

The following requirements apply to the Contract:

#### 3.5.1 Redundancy, Data Backup and Disaster Recovery

- A. Unless specified otherwise in the RFP, Contractor shall maintain or cause to be maintained disaster avoidance procedures designed to safeguard State data and other confidential information, Contractor's processing capability and the availability of hosted services, in each case throughout the Contract term. Any force majeure provisions of the Contract do not limit the Contractor's obligations under this provision.
- B. The Contractor shall have robust contingency and disaster recovery (DR) plans in place to ensure that the services provided under the Contract will be maintained in the event of disruption to the Contractor/subcontractor's operations (including, but not limited to, disruption to information technology systems), however caused.
  - 1) The Contractor shall furnish a DR site.
  - 2) The DR site shall be at least 100 miles from the primary operations site, and have the capacity to take over complete production volume in case the primary site becomes unresponsive.
- C. The contingency and DR plans must be designed to ensure that services under the Contract are restored after a disruption within twenty-four (24) hours from notification and a recovery point objective of one (1) hour or less prior to the outage in order to avoid unacceptable consequences due to the unavailability of services.
- D. The Contractor shall test the contingency/DR plans at least twice annually to identify any changes that need to be made to the plan(s) to ensure a minimum interruption of service. Coordination shall be made with the State to ensure limited system downtime when testing is conducted. At least one (1) annual test shall include backup media restoration and failover/fallback operations at the DR location. The Contractor shall send the Contract Monitor a notice of completion following completion of DR testing.
- E. Such contingency and DR plans shall be available for the Department to inspect and practically test at any reasonable time, and subject to regular updating, revising, and testing throughout the term of the Contract.

#### 3.5.2 Data Export/Import

- A. The Contractor shall, at no additional cost or charge to the State, in an industry standard/non-proprietary format:
  - 1) perform a full or partial import/export of State data within 24 hours of a request; or
  - 2) provide to the State the ability to import/export data at will and provide the State with any access and instructions which are needed for the State to import or export data.
- B. Any import or export shall be in a secure format per the Security Requirements.

#### 3.5.3 Data Ownership and Access

- A. Data, databases and derived data products created, collected, manipulated, or directly purchased as part of a RFP are the property of the State. The purchasing State agency is considered the custodian of the data and shall determine the use, access, distribution and other conditions based on appropriate State statutes and regulations.
- B. Public jurisdiction user accounts and public jurisdiction data shall not be accessed, except (1) in the course of data center operations, (2) in response to service or technical issues, (3) as required by the express terms of the Contract, including as necessary to perform the services hereunder or (4) at the State's written request.
- C. The Contractor shall limit access to and possession of State data to only Contractor Personnel whose responsibilities reasonably require such access or possession and shall train such Contractor Personnel on the confidentiality obligations set forth herein.
- D. At no time shall any data or processes – that either belong to or are intended for the use of the State or its officers, agents or employees – be copied, disclosed or retained by the Contractor or any party related to the Contractor for subsequent use in any transaction that does not include the State.
- E. The Contractor shall not use any information collected in connection with the services furnished under the Contract for any purpose other than fulfilling such services.

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

### **3.6 Insurance Requirements**

For all Functional Areas, the Contractor shall maintain, at a minimum, the insurance coverages outlined below, or any minimum requirements established by law if higher, for the duration of the Contract, including option periods, if exercised:

#### **3.6.1 The following type(s) of insurance and minimum amount(s) of coverage are required:**

- A. Commercial General Liability - of \$1,000,000 combined single limit per occurrence for bodily injury, property damage, and personal and advertising injury and \$3,000,000 annual aggregate. The minimum limits required herein may be satisfied through any combination of primary and umbrella/excess liability policies.
- B. Errors and Omissions/Professional Liability - \$1,000,000 per combined single limit per claim and \$3,000,000 annual aggregate.
- C. Crime Insurance/Employee Theft Insurance - to cover employee theft with a minimum single loss limit of \$1,000,000 per loss, and a minimum single loss retention not to exceed \$10,000. The State of Maryland and the Department should be added as a “loss payee.”
- D. Worker's Compensation - The Contractor shall maintain such insurance as necessary or as required under Workers' Compensation Acts, the Longshore and Harbor Workers' Compensation Act, and the Federal Employers' Liability Act, to not be less than one million dollars (\$1,000,000) per occurrence (unless a state's law requires a greater amount of coverage). Coverage must be valid in all states where work is performed.
- E. Automobile or Commercial Truck Insurance - The Contractor shall maintain Automobile or Commercial Truck Insurance (including owned, leased, hired, and non-owned vehicles) as appropriate with Liability, Collision, and PIP limits no less than those required by the State where the vehicle(s) is registered, but in no case less than those required by the State of Maryland.

3.6.2 The State shall be listed as an additional insured on the faces of the certificates associated with the coverages listed above, including umbrella policies, excluding Workers' Compensation Insurance and professional liability.

3.6.3 All insurance policies shall be endorsed to include a clause requiring the insurance carrier provide the Procurement Officer, by certified mail, not less than 30 days' advance notice of any non-renewal, cancellation, or expiration. The Contractor shall notify the Procurement Officer in writing, if policies are cancelled or not renewed within five (5)

days of learning of such cancellation or nonrenewal. The Contractor shall provide evidence of replacement insurance coverage to the Procurement Officer at least 15 days prior to the expiration of the insurance policy then in effect.

- 3.6.4 Any insurance furnished as a condition of the Contract shall be issued by a company authorized to do business in the State.
- 3.6.5 The recommended awardee must provide current certificate(s) of insurance with the prescribed coverages, limits and requirements set forth in this section within five (5) Business Days from notice of recommended award. During the period of performance for multi-year contracts, the Contractor shall provide certificates of insurance annually, or as otherwise directed by the Contract Monitor.
- 3.6.6 Subcontractor Insurance
- The Contractor shall require any subcontractors to obtain and maintain comparable levels of coverage and shall provide the Contract Monitor with the same documentation as is required of the Contractor.

### **3.7 Security Requirements**

The following requirements are applicable to the Contract:

#### **3.7.1 Employee Identification**

- A. Contractor Personnel shall display his or her company ID badge in a visible location at all times while on State premises. Upon request of authorized State personnel, each Contractor Personnel shall provide additional photo identification.
- B. Contractor Personnel shall cooperate with State site requirements, including but not limited to, being prepared to be escorted at all times, and providing information for State badge issuance.
- C. Contractor shall remove any Contractor Personnel from working on the Contract where the State determines, in its sole discretion that Contractor Personnel has not adhered to the Security requirements specified herein.
- D. The State reserves the right to request that the Contractor submit proof of employment authorization of non-United States Citizens, prior to commencement of work under the Contract.

#### **3.7.2 Security Clearance / Criminal Background Check**

A security clearance is not required for Contractor Personnel assigned to the Contract.

#### **3.7.3 On-Site Security Requirement(s)**

THIS SECTION IS INAPPLICABLE TO THIS RFP.

### **3.8 Problem Escalation Procedure**

- 3.8.1 The Contractor must provide and maintain a Problem Escalation Procedure (PEP) for both routine and emergency situations. The PEP must state how the Contractor will address problem situations as they occur during the performance of the Contract, especially problems that are not resolved to the satisfaction of the State within appropriate timeframes.
- 3.8.2 The Contractor shall provide contact information to the Contract Monitor, as well as to other State personnel as directed should the Contract Monitor not be available.
- 3.8.3 The Contractor must provide the PEP no later than ten (10) Business Days after notice of recommended award. The PEP, including any revisions thereto, must also be provided within ten (10) Business Days after the start of each Contract year and within ten (10) Business Days after any change in circumstance which changes the PEP. The PEP

shall detail how problems with work under the Contract will be escalated in order to resolve any issues in a timely manner. The PEP shall include:

- A. The process for establishing the existence of a problem;
- B. Names, titles, and contact information for progressively higher levels of personnel in the Contractor's organization who would become involved in resolving a problem;
- C. For each individual listed in the Contractor's PEP, the maximum amount of time a problem will remain unresolved with that individual before the problem escalates to the next contact person listed in the Contractor's PEP;
- D. Expedited escalation procedures and any circumstances that would trigger expediting them;
- E. The method of providing feedback on resolution progress, including the frequency of feedback to be provided to the State;
- F. Contact information for persons responsible for resolving issues after normal business hours (e.g., evenings, weekends, holidays) and on an emergency basis; and
- G. A process for updating and notifying the Contract Monitor of any changes to the PEP.

3.8.4 Nothing in this section shall be construed to limit any rights of the Contract Monitor or the State which may be allowed by the Contract or applicable law.

### **3.9 SOC 2 Type 2 Audit Report**

A SOC 2 Type 2 Report is not a Contractor requirement for this Contract.

### **3.10 Experience and Personnel**

#### **3.10.1 Preferred Offeror Experience**

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

The Offerors are expected to provide expertise in all areas of economics as it relates to the planning, siting, licensing and operation of electric power plants and ancillary facilities including solid waste disposal sites and transmission lines within or affecting Maryland. This includes, but is not limited to, the following categories:

- A. Electric utility siting and licensing
  - 1) Knowledge of power plant design and operation
  - 2) Electric system reliability and stability
  - 3) Evaluation of socioeconomic Impacts of proposed facilities
  - 4) Evaluation of visual impacts of proposed facilities
  - 5) Evaluation of transportation impacts of proposed facilities
- B. Electric Utility Planning
  - 1) Forecasts of future electrical load for Maryland
  - 2) Familiarity with PJM Interconnection and the Federal Energy Regulatory Commission (FERC)
  - 3) Evaluation of transmission congestion
  - 4) Evaluation of PJM Interconnection regional transmission expansion planning
  - 5) Adequacy and reliability of the transmission system
  - 6) Analysis of policy alternatives for promoting renewable energy sources

- 7) Ability to analyze FERC Regional Transmission Organization (RTO) Issues and activities
- C. Electric Utility Restructuring and Competition
  - 1) Familiarity with restructuring programs and progress in other states
  - 2) Impacts of proposed Federal legislation on Maryland
  - 3) Effect of possible mergers and acquisitions by and of existing utilities and merchant generators
  - 4) Assistance in the procurement of competitive electric supplies for state facilities
  - 5) Evaluation of default service for Maryland electric customers
  - 6) Competitive metering, billing and supply issues
  - 7) Analysis of socioeconomic implications of restructuring
- D. Renewable Energy and Demand Side Management
  - 1) Evaluation of alternative generating technologies
  - 2) Implementation of renewable portfolio standards
  - 3) Familiarity with renewable portfolio standards across the country
  - 4) Design of processes to qualify renewable technologies
  - 5) Design of demand side management and conservation programs
  - 6) Evaluation of demand side management programs
  - 7) Consideration of alternative delivery mechanisms for energy efficiency
  - 8) Familiarity with System Benefit and Public Benefit Funds
- E. Resource and Environmental Economics
  - 1) Carbon trading
  - 2) Economic evaluations of air quality restrictions
  - 3) Evaluation of effects of power plants on property values

### **3.10.2 Key Personnel Experience**

Key Personnel Experience for each Functional Area are provided in Attachments P-1 to P-4.

Attachment P-1: Functional Area A (Power Plants Planning & Licensing)

Attachment P-2: Functional Area B (Transmission Planning & Licensing)

Attachment P-3: Functional Area C (Reports and Related Activities)

Attachment P-4: Functional Area D (Long-Term Electricity Report Update)

### **3.10.3 Key Personnel Identified**

Key Personnel for each Functional Area are identified in Attachments P-1 to P-4.

Attachment P-1: Functional Area A (Power Plant Planning & Licensing)

Attachment P-2: Functional Area B (Transmission Planning & Licensing)

Attachment P-3: Functional Area C (Reports and Related Activities)

Attachment P-4: Functional Area D (Long-Term Electricity Report Update)

## **3.11 Substitution of Personnel**

### **3.11.1 Continuous Performance of Key Personnel**

When Key Personnel are identified for the Contract, the following apply:

- A. Key Personnel shall be available to perform Contract requirements as of the NTP Date. Unless explicitly authorized by the Contract Monitor or specified in the Contract, Key Personnel shall be assigned to the State of Maryland as a dedicated resource.
- B. Key Personnel shall perform continuously for the duration of the Contract, or such lesser duration as specified in the Technical Proposal. Key Personnel may not be removed by the Contractor from working under the Contract without the prior written approval of the Contract Monitor.
- C. The provisions of this section apply to Key Personnel identified in any Task Order proposal and agreement, if issued, and any Work Order Request and Work Order, if issued.

### 3.11.2 Definitions

For the purposes of this section, the following definitions apply:

- A. **Extraordinary Personal Event** – means any of: leave under the Family Medical Leave Act; an Incapacitating injury or Incapacitating illness; or other circumstances that in the sole discretion of the State warrant an extended leave of absence, such as extended jury duty or extended military service that precludes the individual from performing his/her job duties under the Contract.
- B. **Incapacitating** – means any health circumstance that substantially impairs the ability of an individual to perform the job duties described for that individual's position in the RFP or the Contractor's Technical Proposal.

### 3.11.3 Contractor Personnel General Substitution Provisions

The following provisions apply to all of the circumstances of Contractor Personnel substitution described in **Section 3.11.4**.

- A. The Contractor shall demonstrate to the Contract Monitor's satisfaction that the proposed substitute has qualifications at least equal to those of the Contractor Personnel proposed to be replaced.
- B. The Contractor shall provide the Contract Monitor with a substitution request that shall include:
  - 1) A detailed explanation of the reason(s) for the substitution request;
  - 2) The resume of the proposed substitute, signed by the substituting individual and his/her formal supervisor;
  - 3) The official resume of the current personnel for comparison purposes; and
  - 4) Evidence of any required credentials.
- C. The Contract Monitor may request additional information concerning the proposed substitution and may interview the proposed substitute personnel prior to deciding whether to approve the substitution request.
- D. The Contract Monitor will notify the Contractor in writing of: (i) the acceptance or denial, or (ii) contingent or temporary approval for a specified time limit, of the requested substitution. The Contract Monitor will not unreasonably withhold approval of a proposed Contractor Personnel replacement.

### 3.11.4 Replacement Circumstances

- A. Directed Personnel Replacement
  - 1) The Contract Monitor may direct the Contractor to replace any Contractor Personnel who, in the sole discretion of the Contract Monitor, are perceived as being unqualified, non-productive, unable to fully perform the job duties, disruptive, or known, or reasonably believed, to have committed a major infraction(s) of law, Department policies, or Contract requirements. Normally, a directed personnel



replacement will occur only after prior notification of problems with requested remediation, as described in paragraph **3.11.4.A.2**.

- 2) If deemed appropriate in the discretion of the Contract Monitor, the Contract Monitor may give written notice of any Contractor Personnel performance issues to the Contractor, describing the problem and delineating the remediation requirement(s). The Contractor shall provide a written response to the remediation requirements in a Remediation Plan within ten (10) days of the date of the notice and shall immediately implement the Remediation Plan upon written acceptance by the Contract Monitor. If the Contract Monitor rejects the Remediation Plan, the Contractor shall revise and resubmit the plan to the Contract Monitor within five (5) days, or in the timeframe set forth by the Contract Monitor in writing.
- 3) Should performance issues persist despite an approved Remediation Plan, the Contract Monitor may give written notice of the continuing performance issues and either request a new Remediation Plan within a specified time limit or direct the substitution of Contractor Personnel whose performance is at issue with a qualified substitute, including requiring the immediate removal of the Contractor Personnel at issue.
- 4) Replacement or substitution of Contractor Personnel under this section shall be in addition to, and not in lieu of, the State's remedies under the Contract or which otherwise may be available at law or in equity.
- 5) If the Contract Monitor determines to direct substitution under **3.11.4.A.1**, if at all possible, at least fifteen (15) days advance notice shall be given to the Contractor. However, if the Contract Monitor deems it necessary and in the State's best interests to remove the Contractor Personnel with less than fifteen (15) days' notice, the Contract Monitor may direct the removal in a timeframe of less than fifteen (15) days, including immediate removal.
- 6) In circumstances of directed removal, the Contractor shall, in accordance with paragraph **3.11.4.A.1** of this section, provide a suitable replacement for approval within fifteen (15) days of the notification of the need for removal, or the actual removal, whichever occurs first.

**B. Key Personnel Replacement**

- 1) To replace any Key Personnel in a circumstance other than as described in **3.11.4.B**, including transfers and promotions, the Contractor shall submit a substitution request as described in **Section 3.11.3** to the Contract Monitor at least fifteen (15) days prior to the intended date of change. A substitution may not occur unless and until the Contract Monitor approves the substitution in writing.
- 2) Key Personnel Replacement Due to Sudden Vacancy
  - a) The Contractor shall replace Key Personnel whenever a sudden vacancy occurs (e.g., Extraordinary Personal Event, death, resignation, termination). A termination or resignation with thirty (30) days or more advance notice shall be treated as a replacement under **Section 3.11.4.B.1**.
  - b) Under any of the circumstances set forth in this paragraph B, the Contractor shall identify a suitable replacement and provide the same information and items required under **Section 3.11.3** within fifteen (15) days of the actual vacancy occurrence or from when the Contractor first knew or should have known that the vacancy would be occurring, whichever is earlier.
- 3) Key Personnel Replacement Due to an Indeterminate Absence
  - a) If any Key Personnel has been absent from his/her job for a period of ten (10) days and it is not known or reasonably anticipated that the individual will be returning to work within the next twenty (20) days to fully resume all job duties, before the 25th day of continuous absence, the Contractor shall identify a suitable replacement and provide the same information and items to the Contract Monitor as required under **Section 3.11.3**.

- b) However, if this person is available to return to work and fully perform all job duties before a replacement has been authorized by the Contract Monitor the Contract Monitor may, at his/her sole discretion, authorize the original personnel to continue to work under the Contract, or authorize the replacement personnel to replace the original personnel, notwithstanding the original personnel's ability to return.

### 3.11.5 Substitution Prior to and Within 30 Days After Contract Execution

Prior to Contract execution or within thirty (30) days after Contract execution, the Offeror may not substitute proposed Key Personnel except under the following circumstances (a) for actual full-time personnel employed directly by the Offeror: the vacancy occurs due to the sudden termination, resignation, or approved leave of absence due to an Extraordinary Personal Event, or the death of such personnel; and (b) for any temporary staff, subcontractors or 1099 contractors: the vacancy occurs due to an Incapacitating event or the death of such personnel. To qualify for such substitution, the Offeror must demonstrate to the State's satisfaction the event necessitating substitution. Proposed substitutions shall be of equal caliber or higher, in the State's sole discretion. Proposed substitutes deemed by the State to be less qualified than the originally proposed individual may be grounds for pre-award disqualification or post-award termination.

### 3.12 Minority Business Enterprise (MBE) Reports

If this solicitation includes an MBE Goal (see **Section 4.26**), the Contractor shall:

- A. Submit the following reports by the 10th of each month to the Contract Monitor and the Department's MBE Liaison Officer:
  - 1) A Prime Contractor Paid/Unpaid MBE Invoice Report (Attachment D-4A) listing any unpaid invoices, over 45 days old, received from any certified MBE subcontractor, the amount of each invoice and the reason payment has not been made; and
  - 2) (If Applicable) An MBE Prime Contractor Report (Attachment D-4B) identifying an MBE prime's self-performing work to be counted towards the MBE participation goals.
- B. Include in its agreements with its certified MBE subcontractors a requirement that those subcontractors submit an MBE Subcontractor Paid/Unpaid Invoice Report (**Attachment D-5**) by the 10th of each month to the Contract Monitor and the Department's MBE Liaison Officer that identifies the Contract and lists all payments to the MBE subcontractor received from the Contractor in the preceding reporting period month, as well as any outstanding invoices, and the amounts of those invoices.
- C. Maintain such records as are necessary to confirm compliance with its MBE participation obligations. These records must indicate the identity of certified minority and non-minority subcontractors employed on the Contract, type of work performed by each, and actual dollar value of work performed. Subcontract agreements documenting the work performed by all MBE participants must be retained by the Contractor and furnished to the Procurement Officer on request.
- D. Consent to provide such documentation as reasonably requested and to provide right-of-entry at reasonable times for purposes of the State's representatives verifying compliance with the MBE participation obligations. Contractor must retain all records concerning MBE participation and make them available for State inspection for three years after final completion of the Contract.
- E. Upon completion of the Contract and before final payment and release of retainage, submit a final report in affidavit form and under penalty of perjury, of all payments made to, or withheld from MBE subcontractors.



### 3.13 Veteran Small Business Enterprise (VSBE) Reports

If this solicitation includes a VSBE Goal (see **Section 4.27**), the Contractor shall:

- A. Submit the following reports by the 10<sup>th</sup> of the month following the reporting period to the Contract Monitor and the Department VSBE representative:
  - 1) VSBE Participation Prime Contractor Paid/Unpaid VSBE Invoice Report (Attachment E-3) listing any unpaid invoices, over 45 days old, received from any VSBE subcontractor, the amount of each invoice and the reason payment has not been made; and
  - 2) **Attachment E-4**, the VSBE Participation Subcontractor Paid/Unpaid VSBE Invoice Report by the 10th of the month following the reporting period to the Contract Monitor and the VSBE Liaison Officer.
- B. Include in its agreements with its VSBE subcontractors a requirement that those subcontractors submit monthly by the 10th of the month following the reporting period to the Contract Monitor and Department VSBE representative a report that identifies the prime contract and lists all payments received from Contractor in the preceding reporting period month, as well as any outstanding invoices, and the amount of those invoices (**Attachment E-4**).
- C. Maintain such records as are necessary to confirm compliance with its VSBE participation obligations. These records must indicate the identity of VSBE and non-VSBE subcontractors employed on the contract, the type of work performed by each, and the actual dollar value of work performed. The subcontract agreement documenting the work performed by all VSBE participants must be retained by the Contractor and furnished to the Procurement Officer on request.
- D. Consent to provide such documentation as reasonably requested and to provide right-of-entry at reasonable times for purposes of the State's representatives verifying compliance with the VSBE participation obligations. The Contractor must retain all records concerning VSBE participation and make them available for State inspection for three years after final completion of the Contract.
- E. At the option of the Department, upon completion of the Contract and before final payment and release of retainage, submit a final report in affidavit form and under penalty of perjury, of all payments made to, or withheld from VSBE subcontractors.

### 3.14 Work Orders

- A. Additional services and resources will be provided via a WorkOrder process. Work shall not begin in advance of a fully executed Task Order. A Task Order may be issued for either fixed price or time and materials (T&M) pricing. T&M Task Orders will be issued in accordance with pre-approved Labor Categories with the fully loaded rates proposed in **Attachment B**.
- B. Work order Requests (See sample at [http://doit.maryland.gov/contracts/Documents/\\_procurementForms/WorkOrderSample.pdf](http://doit.maryland.gov/contracts/Documents/_procurementForms/WorkOrderSample.pdf)) for the provision of services or resources that are within the scope of this RFP will be issued to the Contractor (including by email). The Work order Request will include:
  - 1) Technical requirements and description of the service or resources needed;
  - 2) Performance objectives and/or deliverables, as applicable;
  - 3) Due date and time for submitting a response to the request; and
  - 4) Required place(s) where work must be performed.

- C. The Contractor shall e-mail a response to the Contract Monitor within the specified time and include at a minimum:
  - 1) A response that details the Contractor's understanding of the work;
  - 2) A price to complete the Work order Request using the format provided using the format provided (see online sample).
  - 3) A description of proposed resources required to perform the requested tasks, with labor categories listed in accordance with **Attachment B**.
  - 4) An explanation of how tasks shall be completed. This description shall include proposed subcontractors and related tasks.
  - 5) Contractor's expectations for State-furnished information, work site, and/or access to equipment, facilities, or personnel
  - 6) The proposed personnel resources, including any subcontractor personnel, to complete the task.
- D. For a T&M Work order, the Contract Monitor will review the response and will confirm the proposed labor rates are consistent with this RFP. For a fixed price Work order, the Contract Monitor will review the response and will confirm the proposed prices are acceptable.
- E. The Contract Monitor may contact the Contractor to obtain additional information, clarification or revision to the Work order, and will provide the Work order to the Procurement Officer for a determination of compliance with the Contract and a determination whether a change order is appropriate. Written Procurement Officer approval is required before Work order execution by the State.
- F. Proposed personnel on any type of Work order shall be subject to Department approval. The Contractor shall furnish resumes of proposed personnel specifying the labor category(ies) proposed. The Contract Monitor shall have the option to interview the proposed personnel and, in the event of an interview or not, shall notify the Contractor of acceptance or denial of the personnel.
- G. Performance of services under a Work order shall commence consistent with an NTP issued by the Contract Monitor for such Work order.

### **3.15 Additional Clauses**

#### **3.15.1 No-Cost Extensions**

In accordance with BPW Advisory 1995-1 item 7.b, in the event there are unspent funds remaining on the Contract, prior to the Contract's expiration date the Procurement Officer may modify the Contract to extend the Contract beyond its expiration date for a period up to, but not exceeding, one-third of the base term of the Contract (e.g., eight-month extension on a two-year contract) for the performance of work within the Contract's scope of work. Notwithstanding anything to the contrary, no funds may be added to the Contract in connection with any such extension.

**THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK.**

## 4 Procurement Instructions

### 4.1 Pre-Proposal Conference

- 4.1.1 A pre-Proposal conference (Conference) will be held at the date, time, and location indicated on the Key Information Summary Sheet.
- 4.1.2 Attendance at the Conference is not mandatory, but all interested parties are encouraged to attend in order to facilitate better preparation of their Proposals.
- 4.1.3 Following the Conference, the attendance record and summary of the Conference will be distributed via the same mechanism described for amendments and questions (see Section 4.2.1 eMM).
- 4.1.4 Attendees should bring a copy of the solicitation and a business card to help facilitate the sign-in process.
- 4.1.5 In order to assure adequate seating and other accommodations at the Conference, please e-mail the Pre-Proposal Conference Response Form (Attachment A) no later than the time and date indicated on the form. In addition, if there is a need for sign language interpretation or other special accommodations due to a disability, please notify the Procurement Officer at least five (5) Business Days prior to the Conference date. The Department will make a reasonable effort to provide such special accommodation.

### 4.2 eMaryland Marketplace (eMM)

- 4.2.1 eMM is the electronic commerce system for the State of Maryland. The RFP, Conference summary and attendance sheet, Offerors' questions and the Procurement Officer's responses, addenda, and other solicitation-related information will be made available via eMM.
- 4.2.2 In order to receive a contract award, a vendor must be registered on eMM. Registration is free. Go to <https://emaryland.buyspeed.com/bsol/login.jsp>, click on "Register" to begin the process, and then follow the prompts.

### 4.3 Questions

- 4.3.1 All questions, including concerns regarding any applicable MBE or VSBE participation goals, shall identify in the subject line the Solicitation Number and Title (K00R9400197A - Economic Studies Integrator -- Technical Assistance in Electric Utility Economics), and shall be submitted in writing via e-mail to the Procurement Officer at least five (5) days prior to the Proposal due date. The Procurement Officer, based on the availability of time to research and communicate an answer, shall decide whether an answer can be given before the Proposal due date.
- 4.3.2 Answers to all questions that are not clearly specific only to the requestor will be distributed via the same mechanism as for RFP amendments, and posted on eMM.
- 4.3.3 The statements and interpretations contained in responses to any questions, whether responded to verbally or in writing, are not binding on the Department unless it issues an amendment in writing.

### 4.4 Procurement Method

Contract(s) will be awarded in accordance with the Competitive Sealed Proposals method under COMAR 21.05.03.

### 4.5 Proposal Due (Closing) Date and Time

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

- 4.5.2 Requests for extension of this date or time shall not be granted.
- 4.5.3 Offerors submitting Proposals should allow sufficient delivery time to ensure timely receipt by the Procurement Officer. Except as provided in COMAR 21.05.03.02.F and 21.05.02.10, Proposals received after the due date and time listed in the Key Information Summary Sheet will not be considered.
- 4.5.4 The date and time of an e-mail submission is determined by the date and time of arrival in the e-mail address indicated on the Key Information Summary Sheet.
- 4.5.5 Proposals may be modified or withdrawn by written notice received by the Procurement Officer before the time and date set forth in the Key Information Summary Sheet for receipt of Proposals.
- 4.5.6 Proposals may not be submitted by e-mail or facsimile. Proposals will not be opened publicly.
- 4.5.7 Potential Offerors not responding to this solicitation are requested to submit the “Notice to Vendors” form, which includes company information and the reason for not responding (e.g., too busy, cannot meet mandatory requirements).

#### **4.6 Multiple or Alternate Proposals**

Multiple or alternate Proposals will not be accepted within each Functional Area.

#### **4.7 Economy of Preparation**

Proposals should be prepared simply and economically and provide a straightforward and concise description of the Offeror’s Proposal to meet the requirements of this RFP.

#### **4.8 Public Information Act Notice**

- 4.8.1 The Offeror should give specific attention to the clear identification of those portions of its Proposal that it considers confidential and/or 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, Md. Code Ann., General Provisions Article, Title 4 (See also RFP Section 5.3.2.B “Claim of Confidentiality”). This information should be identified by page and section number and placed after the Title Page and before the Table of Contents in the Technical Proposal and if applicable, separately in the Financial Proposal.
- 4.8.2 Offerors are advised that, upon request for this information from a third party, the Procurement Officer is required to make an independent determination whether the information must be disclosed.

#### **4.9 Award Basis**

Up to four (4) Contracts shall be awarded to the responsible Offeror(s) submitting the Proposal that has been determined to be the most advantageous to the State, considering price and evaluation factors set forth in this RFP (see COMAR 21.05.03.03F), for providing the goods and services as specified in this RFP. See RFP **Section 6** for further award information.

#### **4.10 Oral Presentation**

Offerors may be required to make oral presentations to State representatives. Oral presentations are considered part of the Technical Proposal. Offerors must confirm in writing any substantive oral clarification of, or change in, their Proposals made in the course of discussions. Any such written clarifications or changes then become part of the Offeror’s Proposal. The Procurement Officer will notify Offerors of the time and place of oral presentations.

#### **4.11 Duration of Proposal**

Proposals submitted in response to this RFP are irrevocable for the latest of the following: 120 days following the Proposal due date and time, best and final offers if requested (see **Section 6.5.2**), or the date any protest concerning this RFP is finally resolved. This period may be extended at the Procurement Officer's request only with the Offeror's written agreement.

#### **4.12 Revisions to the RFP**

- 4.12.1 If the RFP is revised before the due date for Proposals, the Department shall post any addenda to the RFP on eMM and shall endeavor to provide such addenda to all prospective Offerors that were sent this RFP or are otherwise known by the Procurement Officer to have obtained this RFP. It remains the responsibility of all prospective Offerors to check eMM for any addenda issued prior to the submission of Proposals.
- 4.12.2 Acknowledgment of the receipt of all addenda to this RFP issued before the Proposal due date shall be included in the Transmittal Letter accompanying the Offeror's Technical Proposal.
- 4.12.3 Addenda made after the due date for Proposals will be sent only to those Offerors that remain under award consideration as of the issuance date of the addenda.
- 4.12.4 Acknowledgement of the receipt of addenda to the RFP issued after the Proposal due date shall be in the manner specified in the addendum notice.
- 4.12.5 Failure to acknowledge receipt of an addendum does not relieve the Offeror from complying with the terms, additions, deletions, or corrections set forth in the addendum, and may cause the Proposal to be deemed not reasonably susceptible of being selected for award.

#### **4.13 Cancellations**

- 4.13.1 The State reserves the right to cancel this RFP, accept or reject any and all Proposals, in whole or in part, received in response to this RFP, waive or permit the cure of minor irregularities, and conduct discussions with all qualified or potentially qualified Offerors in any manner necessary to serve the best interests of the State.
- 4.13.2 The State reserves the right, in its sole discretion, to award a Contract based upon the written Proposals received without discussions or negotiations.
- 4.13.3 In the event a government entity proposes and receives the recommendation for award, the procurement may be cancelled and the award processed in accordance with COMAR 21.01.03.01.A(4).

#### **4.14 Incurred Expenses**

The State will not be responsible for any costs incurred by any Offeror in preparing and submitting a Proposal, in making an oral presentation, providing a demonstration, or performing any other activities related to submitting a Proposal in response to this solicitation.

#### **4.15 Protest/Disputes**

Any protest or dispute related to this solicitation or the Contract award shall be subject to the provisions of COMAR 21.10 (Administrative and Civil Remedies).

#### 4.16 Offeror Responsibilities

- 4.16.1 Offerors must be able to provide all goods and services and meet all of the requirements requested in this solicitation and the successful Offeror shall be responsible for Contract performance including any subcontractor participation.
- 4.16.2 All subcontractors shall be identified and a complete description of their role relative to the Proposal shall be included in the Offeror's Proposal. If applicable, subcontractors utilized in meeting the established MBE or VSBE participation goal(s) for this solicitation shall be identified as provided in the appropriate Attachment(s) to this RFP (see Section 4.26 "Minority Participation Goal" and Section 4.27 "VSBE Goal").
- 4.16.3 If the Offeror is the subsidiary of another entity, all information submitted by the Offeror, including but not limited to references, financial reports, or experience and documentation (e.g. insurance policies, bonds, letters of credit) used to meet minimum qualifications, if any, shall pertain exclusively to the Offeror, unless the parent organization will guarantee the performance of the subsidiary. If applicable, the Offeror's Proposal shall contain an explicit statement, signed by an authorized representative of the parent organization, stating that the parent organization will guarantee the performance of the subsidiary.
- 4.16.4 A parental guarantee of the performance of the Offeror under this Section will not automatically result in crediting the Offeror with the experience or qualifications of the parent under any evaluation criteria pertaining to the actual Offeror's experience and qualifications. Instead, the Offeror will be evaluated on the extent to which the State determines that the experience and qualifications of the parent are applicable to and shared with the Offeror, any stated intent by the parent to be directly involved in the performance of the Contract, and the value of the parent's participation as determined by the State.

#### 4.17 Acceptance of Terms and Conditions

By submitting a Proposal in response to this RFP, the Offeror, if selected for award, shall be deemed to have accepted the terms and conditions of this RFP and the Contract, attached hereto as **Attachment M**. Any exceptions to this RFP or the Contract shall be clearly identified in the Executive Summary of the Technical Proposal. **All exceptions will be taken into consideration when evaluating the Offeror's Proposal. The Department reserves the right to accept or reject any exceptions.**

#### 4.18 Proposal Affidavit

A Proposal submitted by the Offeror must be accompanied by a completed Proposal Affidavit. A copy of this Affidavit is included as **Attachment C** of this RFP.

#### 4.19 Contract Affidavit

All Offerors are advised that if a Contract is awarded as a result of this solicitation, the successful Offeror will be required to complete a Contract Affidavit. A copy of this Affidavit is included for informational purposes as **Attachment N** of this RFP. This Affidavit must be provided within five (5) Business Days of notification of recommended award. For purposes of completing Section "B" of this Affidavit (Certification of Registration or Qualification with the State Department of Assessments and Taxation), a business entity that is organized outside of the State of Maryland is considered a "foreign" business.

#### 4.20 Compliance with Laws/Arrearages

By submitting a Proposal in response to this RFP, the Offeror, if selected for award, agrees that it will comply with all federal, State, and local laws applicable to its activities and obligations under the Contract.



By submitting a response to this solicitation, each Offeror represents that it is not in arrears in the payment of any obligations due and owing the State, including the payment of taxes and employee benefits, and shall not become so in arrears during the term of the Contract if selected for Contract award.

#### 4.21 Verification of Registration and Tax Payment

Before a business entity can do business in the State, it must be registered with the State Department of Assessments and Taxation (SDAT). SDAT is located at State Office Building, Room 803, 301 West Preston Street, Baltimore, Maryland 21201. For registration information, visit <https://www.egov.maryland.gov/businessexpress>.

It is strongly recommended that any potential Offeror complete registration prior to the Proposal due date and time. The Offeror's failure to complete registration with SDAT may disqualify an otherwise successful Offeror from final consideration and recommendation for Contract award.

#### 4.22 False Statements

Offerors are advised that Md. Code Ann., State Finance and Procurement Article, § 11-205.1 provides as follows:

##### 4.22.1 In connection with a procurement contract a person may not willfully:

- A. Falsify, conceal, or suppress a material fact by any scheme or device.
- B. Make a false or fraudulent statement or representation of a material fact.
- C. Use a false writing or document that contains a false or fraudulent statement or entry of a material fact.

##### 4.22.2 A person may not aid or conspire with another person to commit an act under Section 4.22.1.

##### 4.22.3 A person who violates any provision of this section is guilty of a felony and on conviction is subject to a fine not exceeding \$20,000 or imprisonment not exceeding five (5) years or both.

#### 4.23 Payments by Electronic Funds Transfer

By submitting a Proposal in response to this solicitation, the Offeror, if selected for award:

##### 4.23.1 Agrees to accept payments by electronic funds transfer (EFT) unless the State Comptroller's Office grants an exemption. Payment by EFT is mandatory for contracts exceeding \$200,000. The successful Offeror shall register using the COT/GAD X-10 Vendor Electronic Funds (EFT) Registration Request Form.

##### 4.23.2 Any request for exemption must be submitted to the State Comptroller's Office for approval at the address specified on the COT/GAD X-10 form, must include the business identification information as stated on the form, and must include the reason for the exemption. The COT/GAD X-10 form may be downloaded from the Comptroller's website at:

[http://comptroller.marylandtaxes.com/Vendor\\_Services/Accounting\\_Information/Static\\_Files/GADX10Form20150615.pdf](http://comptroller.marylandtaxes.com/Vendor_Services/Accounting_Information/Static_Files/GADX10Form20150615.pdf).

#### 4.24 Prompt Payment Policy

This procurement and the Contract(s) to be awarded pursuant to this solicitation are subject to the Prompt Payment Policy Directive issued by the Governor's Office of Small, Minority & Women Business Affairs (GOSBA) and dated August 1, 2008. Promulgated pursuant to Md. Code Ann., State Finance and Procurement Article, §§ 11-201, 13-205(a), and Title 14, Subtitle 3, and COMAR 21.01.01.03 and 21.11.03.01, the Directive seeks to ensure the prompt payment of all subcontractors on non-construction procurement contracts. The Contractor shall comply with the prompt payment requirements outlined in the Contract, Section 31 "Prompt Pay Requirements" (see **Attachment M**), should an MBE goal

apply to this RFP. Additional information is available on GOSBA's website at:  
<http://www.gomdsmbiz.maryland.gov/documents/legislation/promptpaymentfaqs.pdf>.

#### 4.25 Electronic Procurements Authorized

- 4.25.1 Under COMAR 21.03.05, unless otherwise prohibited by law, the Department may conduct procurement transactions by electronic means, including the solicitation, proposing, award, execution, and administration of a contract, as provided in Md. Code Ann., Maryland Uniform Electronic Transactions Act, Commercial Law Article, Title 21.
- 4.25.2 Participation in the solicitation process on a procurement contract for which electronic means has been authorized shall constitute consent by the Offeror to conduct by electronic means all elements of the procurement of that Contract which are specifically authorized under the solicitation or Contract. In the case of electronic transactions authorized by this RFP, electronic records and signatures by an authorized representative satisfy a requirement for written submission and signatures.
- 4.25.3 "Electronic means" refers to exchanges or communications using electronic, digital, magnetic, wireless, optical, electromagnetic, or other means of electronically conducting transactions. Electronic means includes e-mail, internet-based communications, electronic funds transfer, specific electronic bidding platforms (e.g., <https://emaryland.buyspeed.com/bsol/>), and electronic data interchange.
- 4.25.4 In addition to specific electronic transactions specifically authorized in other sections of this solicitation (e.g., RFP § 4.23 describing payments by Electronic Funds Transfer), the following transactions are authorized to be conducted by electronic means on the terms as authorized in COMAR 21.03.05:
- A. The Procurement Officer may conduct the procurement using eMM, e-mail, or facsimile to issue:
    - 1) The RFP;
    - 2) Any amendments and requests for best and final offers;
    - 3) Pre-Proposal conference documents;
    - 4) Questions and responses;
    - 5) Communications regarding the solicitation or Proposal to any Offeror or potential Offeror;
    - 6) Notices of award selection or non-selection; and
    - 7) The Procurement Officer's decision on any Proposal protest or Contract claim.
  - B. The Offeror or potential Offeror may use e-mail to:
    - 1) Ask questions regarding the solicitation;
    - 2) Reply to any material received from the Procurement Officer by electronic means that includes a Procurement Officer's request or direction to reply by e-mail or facsimile, but only on the terms specifically approved and directed by the Procurement Officer and;
    - 3) Submit a "No Proposal Response" to the RFP.
  - C. The Procurement Officer, the Contract Monitor, and the Contractor may conduct day-to-day Contract administration, except as outlined in **Section 4.25.5** of this subsection, utilizing e-mail, facsimile, or other electronic means if authorized by the Procurement Officer or Contract Monitor.
- 4.25.5 **The following transactions related to this procurement and any Contract awarded pursuant to it are not authorized to be conducted by electronic means:**



- A. Submission of initial Proposals;
- B. Filing of protests;
- C. Filing of Contract claims;
- D. Submission of documents determined by the Department to require original signatures (e.g., Contract execution, Contract modifications); or
- E. Any transaction, submission, or communication where the Procurement Officer has specifically directed that a response from the Contractor or Offeror be provided in writing or hard copy.

**4.25.6 Any facsimile or e-mail transmission is only authorized to the facsimile numbers or e-mail addresses for the identified person as provided in the solicitation, the Contract, or in the direction from the Procurement Officer or Contract Monitor.**

## **4.26 MBE Participation Goal**

### **4.26.1 Establishment of Goal and Subgoals**

An overall MBE subcontractor participation goal as identified in the Key Information Summary Sheet has been established for this procurement, representing a percentage of the total Contract dollar value, including all renewal option terms, if any, has been established for this procurement.

Notwithstanding any subgoals established for this RFP, the Contractor is encouraged to use a diverse group of subcontractors and suppliers from any/all of the various MBE classifications to meet the remainder of the overall MBE participation goal.

By submitting a response to this solicitation, the Offeror acknowledges the overall MBE subcontractor participation goal and subgoals, and commits to achieving the overall goal and subgoals by utilizing certified minority business enterprises, or requests a full or partial waiver of the overall goal and subgoals.

**An Offeror that does not commit to meeting the entire MBE participation goal outlined in this Section 4.26 must submit a request for waiver with its proposal submission that is supported by good faith efforts documentation to meet the MBE goal made prior to submission of its proposal as outlined in Attachment D-1B, Waiver Guidance. Failure of an Offeror to properly complete, sign, and submit Attachment D-1A at the time it submits its Technical Response(s) to the RFP will result in the State's rejection of the Offeror's Proposal for the applicable Service Category. This failure is not curable.**

### **4.26.2 Attachments.**

- A. D-1 to D-5 – The following Minority Business Enterprise participation instructions, and forms are provided to assist Offerors:
  - 1. Attachment D-1A MBE Utilization and Fair Solicitation Affidavit & MBE Participation Schedule (must be submitted with Proposal)
  - 2. Attachment D-1B Waiver Guidance
  - 3. Attachment D-1C Good Faith Efforts Documentation to Support Waiver Request
  - 4. Attachment D-2 Outreach Efforts Compliance Statement
  - 5. Attachment D-3A MBE Subcontractor Project Participation Certification
  - 6. Attachment D-3B MBE Prime Project Participation Certification

7. Attachment D-4A Prime Contractor Paid/Unpaid MBE Invoice Report
  8. Attachment D-4B MBE Prime Contractor Report
  9. Attachment D-5 Subcontractor Paid/Unpaid MBE Invoice Report
- B. The Offeror shall include with its Proposal a completed MBE Utilization and Fair Solicitation Affidavit (**Attachment D-1A**) whereby:
1. The Offeror acknowledges the certified MBE participation goal and commits to make a good faith effort to achieve the goal and any applicable subgoals, or requests a waiver, and affirms that MBE subcontractors were treated fairly in the solicitation process; and
  2. The Offeror responds to the expected degree of MBE participation, as stated in the solicitation, by identifying the specific commitment of certified MBEs at the time of Proposal submission. The Offeror shall specify the percentage of total contract value associated with each MBE subcontractor identified on the MBE participation schedule, including any work performed by the MBE prime (including a prime participating as a joint venture) to be counted towards meeting the MBE participation goals.
  3. The Offeror requesting a waiver should review **Attachment D-1B** (Waiver Guidance) and **D-1C** (Good Faith Efforts Documentation to Support Waiver Request) prior to submitting its request.

**An Offeror must properly complete and submit a separate Attachment D-1A, MBE Utilization and Fair Solicitation Affidavit & MBE Participation Schedule, for EACH Functional Area for which it is submitting a proposal. If an Offeror is submitting a proposal for more than one Functional Area, the Offeror must submit separate Attachment D-1As for each Functional Area proposal.**

***If the Offeror fails to submit a completed Attachment D-1A with the Proposal as required, the Procurement Officer shall determine that the Proposal is not reasonably susceptible of being selected for award.***

- 4.26.3 Offerors are responsible for verifying that each MBE (including any MBE prime and MBE prime participating in a joint venture) selected to meet the goal and any subgoals and subsequently identified in Attachment D-1A is appropriately certified and has the correct NAICS codes allowing it to perform the committed work.
- 4.26.4 Within ten (10) Business Days from notification that it is the recommended awardee or from the date of the actual award, whichever is earlier, the Offeror must provide the following documentation to the Procurement Officer.
- A. Outreach Efforts Compliance Statement (**Attachment D-2**);
  - B. MBE Subcontractor/Prime Project Participation Certification (**Attachment D-3A/3B**); and
  - C. Any other documentation required by the Procurement Officer to ascertain Offeror responsibility in connection with the certified MBE subcontractor participation goal or any applicable subgoals.
  - D. Further, if the recommended awardee believes a waiver (in whole or in part) of the overall MBE goal or of any applicable subgoal is necessary, the recommended awardee must submit a fully-documented waiver request that complies with COMAR 21.11.03.11.

***If the recommended awardee fails to return each completed document within the required time, the Procurement Officer may determine that the recommended awardee is not responsible and, therefore, not eligible for Contract award. If the Contract has already been awarded, the award is voidable.***

- 4.26.5 A current directory of certified MBEs is available through the Maryland State Department of Transportation (MDOT), Office of Minority Business Enterprise, 7201 Corporate Center Drive, Hanover, Maryland 21076. The phone numbers are (410) 865-1269, 1-800-544-6056, or TTY (410) 865-1342. The directory is also available on the MDOT website at <http://mbe.mdot.maryland.gov/directory/>. The most current and up-to-date information on MBEs is available via this website. Only MDOT-certified MBEs may be used to meet the MBE subcontracting goals.
- 4.26.6 The Offeror that requested a waiver of the goal or any of the applicable subgoals will be responsible for submitting the Good Faith Efforts Documentation to Support Waiver Request (Attachment D-1C) and all documentation within ten (10) Business Days from notification that it is the recommended awardee or from the date of the actual award, whichever is earlier, as required in COMAR 21.11.03.11.
- 4.26.7 All documents, including the MBE Utilization and Fair Solicitation Affidavit & MBE Participation Schedule (Attachment D-1A), completed and submitted by the Offeror in connection with its certified MBE participation commitment shall be considered a part of the Contract and are hereby expressly incorporated into the Contract by reference thereto. All of the referenced documents will be considered a part of the Proposal for order of precedence purposes (see Contract – Attachment M, Section 2.1).
- 4.26.8 The Offeror is advised that liquidated damages will apply in the event the Contractor fails to comply in good faith with the requirements of the MBE program and pertinent Contract provisions. (See Contract – Attachment M, Liquidated Damages for MBE, section 39).
- 4.26.9 As set forth in COMAR 21.11.03.12-1(D), when a certified MBE firm participates on a contract as a prime contractor (including a joint-venture where the MBE firm is a partner), a procurement agency may count the distinct, clearly defined portion of the work of the contract that the certified MBE firm performs with its own work force towards fulfilling up to fifty-percent (50%) of the MBE participation goal (overall) and up to one hundred percent (100%) of not more than one of the MBE participation subgoals, if any, established for the contract.

In order to receive credit for self-performance, an MBE prime must list its firm in Section 4A of the MBE Participation Schedule (**Attachment D-1A**) and include information regarding the work it will self-perform. For the remaining portion of the overall goal and the subgoals, the MBE prime must also identify other certified MBE subcontractors [see Section 4B of the MBE Participation Schedule (**Attachment D-1A**)] used to meet those goals. If dually-certified, the MBE prime can be designated as only one of the MBE subgoal classifications but can self-perform up to 100% of the stated subgoal.

As set forth in COMAR 21.11.03.12-1, once the Contract work begins, the work performed by a certified MBE firm, including an MBE prime, can only be counted towards the MBE participation goal(s) if the MBE firm is performing a commercially useful function on the Contract. Refer to MBE forms (**Attachment D**) for additional information.

## 4.27 VSBE Goal

### 4.27.1 Purpose

- A. The Contractor shall structure its procedures for the performance of the work required in the Contract to attempt to achieve the VSBE participation goal stated in this solicitation. VSBE performance must be in accordance with this section and **Attachment E**, as authorized by COMAR 21.11.13. The Contractor agrees to exercise all good faith efforts to carry out the requirements set forth in this section and **Attachment E**.
- B. Veteran-Owned Small Business Enterprises must be verified by the Office of Small and Disadvantaged Business Utilization (OSDBU) of the United States Department of Veterans Affairs. The listing of verified VSBEs may be found at <http://www.va.gov/osdbu>.

### 4.27.2 VSBE Goal

- A. A VSBE participation goal of the total Contract dollar amount has been established for this procurement as identified in the Key Information Summary Sheet.
- B. By submitting a response to this solicitation, the Offeror agrees that this percentage of the total dollar amount of the Contract will be performed by verified veteran-owned small business enterprises.

#### 4.27.3 Solicitation and Contract Formation

- A. In accordance with COMAR 21.11.13.05 C (1), this solicitation requires Offerors to:
  - 1) Identify specific work categories within the scope of the procurement appropriate for subcontracting;
  - 2) Solicit VSBES before Proposals are due, describing the identified work categories and providing instructions on how to bid on the subcontracts;
  - 3) Attempt to make personal contact with the VSBES solicited and to document these attempts;
  - 4) Assist VSBES to fulfill, or to seek waiver of, bonding requirements; and
  - 5) Attempt to attend preProposal or other meetings the procurement agency schedules to publicize contracting opportunities to VSBES.
- B. The Offeror must include with its Proposal a completed VSBE Utilization Affidavit and Prime/Subcontractor Participation Schedule (**Attachment E-1**) whereby the Offeror:
  - 1) Acknowledges it: a) intends to meet the VSBE participation goal; or b) requests a full or partial waiver of the VSBE participation goal. If the Offeror commits to the full VSBE goal or requests a partial waiver, it shall commit to making a good faith effort to achieve the stated goal; and
  - 2) Responds to the expected degree of VSBE participation as stated in the solicitation, by identifying the specific commitment of VSBES at the time of Proposal submission. The Offeror shall specify the percentage of contract value associated with each VSBE prime/subcontractor identified on the VSBE Participation Schedule.

**An Offeror must properly complete and submit a separate Attachment E-1, VSBE Utilization Affidavit and Prime/Subcontractor Participation Schedule, for EACH Functional Area for which it is submitting a proposal. If an Offeror is submitting a proposal for more than one Functional Area, the Offeror must submit separate Attachment E-1s, one for each of the F.**

- C. As set forth in COMAR 21.11.13.05.B(2), when a verified VSBE firm participates on a Contract as a Prime Contractor, a procurement agency may count the distinct, clearly defined portion of the work of the contract that the VSBE Prime Contractor performs with its own work force towards meeting up to one hundred percent (100%) of the VSBE goal.
- D. In order to receive credit for self-performance, a VSBE Prime must list its firm in the VSBE Prime/Subcontractor Participation Schedule (**Attachment E-1**) and include information regarding the work it will self-perform. For any remaining portion of the VSBE goal that is not to be performed by the VSBE Prime, the VSBE Prime must also identify verified VSBE subcontractors used to meet the remainder of the goal.
- E. Within 10 Business Days from notification that it is the apparent awardee, the awardee must provide the following documentation to the Procurement Officer:
  - 1) VSBE Project Participation Statement (**Attachment E-2**);
  - 2) If the apparent awardee believes a full or partial waiver of the overall VSBE goal is necessary, it must submit a fully-documented waiver request that complies with COMAR 21.11.13.07; and

- 3) Any other documentation required by the Procurement Officer to ascertain Offeror responsibility in connection with the VSBE participation goal.

*If the apparent awardee fails to return each completed document within the required time, the Procurement Officer may determine that the apparent awardee is not reasonably susceptible of being selected for award.*

#### 4.28 Living Wage Requirements

- A. Maryland law requires that contractors meeting certain conditions pay a living wage to covered employees on State service contracts over \$100,000. Maryland Code Ann., State Finance and Procurement Article, § 18-101 et al. The Commissioner of Labor and Industry at the Department of Labor, Licensing and Regulation requires that a contractor subject to the Living Wage law submit payroll records for covered employees and a signed statement indicating that it paid a living wage to covered employees; or receive a waiver from Living Wage reporting requirements. See COMAR 21.11.10.05.
- B. If subject to the Living Wage law, Contractor agrees that it will abide by all Living Wage law requirements, including but not limited to reporting requirements in COMAR 21.11.10.05. Contractor understands that failure of Contractor to provide such documents is a material breach of the terms and conditions and may result in Contract termination, disqualification by the State from participating in State contracts, and other sanctions. Information pertaining to reporting obligations may be found by going to the Maryland Department of Labor, Licensing and Regulation (DLLR) website <http://www.dllr.state.md.us/labor/prev/livingwage.shtml>.
- C. Additional information regarding the State's living wage requirement is contained in **Attachment F**. Offerors must complete and submit the Maryland Living Wage Requirements Affidavit of Agreement (**Attachment F-1**) with their Proposals. If the Offeror fails to complete and submit the required documentation, the State may determine the Offeror to not be responsible under State law.
- D. Contractors and subcontractors subject to the Living Wage Law shall pay each covered employee at least the minimum amount set by law for the applicable Tier area. The specific living wage rate is determined by whether a majority of services take place in a Tier 1 Area or a Tier 2 Area of the State. The specific Living Wage rate is determined by whether a majority of services take place in a Tier 1 Area or Tier 2 Area of the State.
  - 1) The Tier 1 Area includes Montgomery, Prince George's, Howard, Anne Arundel and Baltimore Counties, and Baltimore City. The Tier 2 Area includes any county in the State not included in the Tier 1 Area. In the event that the employees who perform the services are not located in the State, the head of the unit responsible for a State Contract pursuant to §18-102(d) of the State Finance and Procurement Article shall assign the tier based upon where the recipients of the services are located. If the Contractor provides more than 50% of the services from an out-of-State location, the State agency determines the wage tier based on where the majority of the service recipients are located. In this circumstance, the Contract will be determined to be a Tier (enter "1" or "2," depending on where the majority of the service recipients are located) Contract.
  - 2) The Contract will be determined to be a Tier 1 Contract or a Tier 2 Contract depending on the location(s) from which the Contractor provides 50% or more of the services. The Offeror must identify in its Proposal the location(s) from which services will be provided, including the location(s) from which 50% or more of the Contract services will be provided.
  - 3) If the Contractor provides 50% or more of the services from a location(s) in a Tier 1 jurisdiction(s) the Contract will be a Tier 1 Contract.
  - 4) If the Contractor provides 50% or more of the services from a location(s) in a Tier 2 jurisdiction(s), the Contract will be a Tier 2 Contract.



- E. If the Contractor provides more than 50% of the services from an out-of-State location, the State agency determines the wage tier based on where the majority of the service recipients are located. See COMAR 21.11.10.07.
- F. The Offeror shall identify in the Proposal the location from which services will be provided.
- G. **NOTE:** Whereas the Living Wage may change annually, the Contract price will not change because of a Living Wage change.

#### **4.29 Federal Funding Acknowledgement**

This Contract does not contain federal funds.

#### **4.30 Conflict of Interest Affidavit and Disclosure**

- 4.30.1 The Offeror shall complete and sign the Conflict of Interest Affidavit and Disclosure (**Attachment H**) and submit it with its Proposal.
- 4.30.2 By submitting a Conflict of Interest Affidavit and Disclosure, the Contractor shall be construed as certifying all Contractor Personnel and subcontractors are also without a conflict of interest as defined in COMAR 21.05.08.08A.
- 4.30.3 Additionally, a Contractor has an ongoing obligation to ensure that all Contractor Personnel are without conflicts of interest prior to providing services << under OR individual Work orders issued under >> the Contract. For policies and procedures applying specifically to Conflict of Interests, the Contract is governed by COMAR 21.05.08.08.
- 4.30.4 Participation in Drafting of Specifications: Disqualifying Event: Offerors are advised that Md. Code Ann. State Finance and Procurement Article §13-212.1(a) provides generally that “an individual who assists an executive unit in the drafting of specifications, an invitation for bids, a request for proposals for a procurement, or the selection or award made in response to an invitation for bids or a request for proposals, or a person that employs the individual, may not: (1) submit a bid or proposal for that procurement; or (2) assist or represent another person, directly or indirectly, who is submitting a bid or proposal for that procurement.” Any Offeror submitting a Proposal in violation of this provision shall be classified as “not responsible.” See COMAR 21.05.03.03.

#### **4.31 Non-Disclosure Agreement**

##### **4.31.1 Non-Disclosure Agreement (Offeror)**

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

##### **4.31.2 Non-Disclosure Agreement (Contractor)**

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

#### **4.32 HIPAA - Business Associate Agreement**

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

#### 4.33 Nonvisual Access

This solicitation does not contain Information Technology (IT) provisions requiring Nonvisual Access.

#### 4.34 Mercury and Products That Contain Mercury

This solicitation does not include the procurement of products known to likely include mercury as a component.

#### 4.35 Location of the Performance of Services Disclosure

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

#### 4.36 Department of Human Services (DHS) Hiring Agreement

This solicitation does not require a DHS Hiring Agreement.

#### 4.37 Small Business Reserve (SBR) Procurement

This solicitation is not designated as a Small Business Reserve (SBR) Procurement.

#### 4.38 Contract Labor Category Rate Adjustments

For all Functional Areas:

On the subsequent annual anniversary date of the beginning of the Contract, the Contractor shall be entitled to an adjustment to the Labor Category Hourly Rates. Within five (5) days of the publication of the U.S. City Average Consumer Price Index for the month immediately prior to the Contract anniversary date, the Contractor shall advise the State of the requested percentage adjustment for each Labor Category Hourly Rate. For example, if the Contract begins on January 1, 2015, the adjustment applied to year 2 of the Contract shall be based on the change in the Consumer Price Index from December 2014 through December 2015 as described below. (The adjustment to be applied to year 3 of the Contract will be based on the CPI change from December 2015 through December 2016.) However, the maximum annual increase for each adjustment year shall be limited to 5% of the unit prices in effect at the time of the price adjustment.

##### Consumer Price Index Information

The adjustment will be calculated by reference to the annual change in the U.S. Department of Labor, Bureau of Labor Statistics (BLS), the U.S. City Average Consumer Price Index - All Urban Consumers ("CPI-U"), all items, base period 1982-84, no seasonal adjustment, for the month of December released approximately mid-month in January.

The Contractor will calculate the adjustment as a percentage resulting from the annual change in the index from the preceding December. An example of the calculation is provided below. In the event that the BLS data is not available in a timely manner, adjustments shall be based upon the first available month where CPI information is publically available. In the event that the BLS discontinues the use of the index described above, adjustments shall be based upon the most comparable successor index to the CPI. The determination as to which index is most comparable shall be within the sole discretion of the State.

The following example illustrates the computation of percent change to be applied to year 2 of the Contract (assuming that year 2 starts January 1, 2016):

CPI for December 2015	236.5
Less CPI for December 2014	234.8
Equals index point change	1.713
Divided by CPI for December 2014	234.8
Equals	0.0073
Result multiplied by 100 (that is, $0.0073 \times 100$ )	
Equals percent change	0.7%

**THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK.**



## 5 Proposal Format

### 5.1 Two Part Submission

Offerors shall submit Proposals in separate volumes:

- Volume I –Technical Proposal
- Volume II – Financial Proposal

### 5.2 Proposal Delivery and Packaging

- 5.2.1 Proposals delivered by facsimile and e-mail shall not be considered.
- 5.2.2 Provide no pricing information in the Technical Proposal. Provide no pricing information on the media submitted in the Technical Proposal.
- 5.2.3 Offerors may submit Proposals by hand or by mail as described below to the address provided in the Key Information Summary Sheet.
- A. Any Proposal received at the appropriate mailroom, or typical place of mail receipt, for the respective procuring unit by the time and date listed in the RFP will be deemed to be timely. The State recommends a delivery method for which both the date and time of receipt can be verified.
- B. For hand-delivery, Offerors are advised to secure a dated, signed, and time-stamped (or otherwise indicated) receipt of delivery. Hand-delivery includes delivery by commercial carrier acting as agent for the Offeror.
- 5.2.4 The Procurement Officer must receive all Proposal material by the RFP due date and time specified in the Key Information Summary Sheet. Requests for extension of this date or time will not be granted. Except as provided in COMAR 21.05.03.02F, Proposals received by the Procurement Officer after the due date will not be considered.
- 5.2.5 Offerors shall provide their Proposals in two separately sealed and labeled packages as follows:
- A. Volume I - Technical Proposal consisting of:
- 1) one (1) original executed Technical Proposal and all supporting material marked and sealed,
  - 2) four (4) duplicate copies of the above separately marked and sealed,
  - 3) an electronic version of the Technical Proposal in Microsoft Word format, version 2007 or greater,
  - 4) the Technical Proposal in searchable Adobe PDF format, and
  - 5) a second searchable Adobe PDF copy of the Technical Proposal with confidential and proprietary information redacted (see **Section 4.8**).
- B. Volume II - Financial Proposal consisting of:
- 1) one (1) original executed Financial Proposal and all supporting material marked and sealed,
  - 2) four (4) duplicate copies of the above separately marked and sealed,
  - 3) an electronic version of the Financial Proposal in searchable Adobe PDF format,
  - 4) an electronic version of the Financial Proposal in Excel, and
  - 5) a second searchable Adobe pdf copy of the Financial Proposal, with confidential and proprietary information redacted(see **Section 4.8**).

- 5.2.6 Affix the following to the outside of each sealed Proposal. Include the name, email address, and telephone number of a contact person for the Offeror be included on the outside of the packaging for each volume. Unless the resulting package will be too unwieldy, the State's preference is for the separately sealed Technical and Financial Proposals to be submitted together in a single package to the Procurement Officer and including a label bearing:
- RFP title and number,
  - Name and address of the Offeror, and
  - Closing date and time for receipt of Proposals
- 5.2.7 Label each electronic media (CD, DVD, or flash drive) on the outside with the RFP title and number, name of the Offeror, and volume number. Electronic media must be packaged with the original copy of the appropriate Proposal (Technical or Financial).
- 5.2.8 Two Part Submission:
- A. Technical Proposal consisting of:
- 1) Technical Proposal and all supporting material in Microsoft Word format, version 2007 or greater,
  - 2) Technical Proposal in searchable Adobe PDF format, and
  - 3) a second searchable Adobe copy of the Technical Proposal, with confidential and proprietary information redacted (see **Section 4.8**), and
- B. Financial Proposal consisting of:
- 1) Financial Proposal and all supporting material in Microsoft Word or Excel format, version 2007 or greater,
  - 2) Financial Proposal in searchable Adobe PDF format, and
  - 3) a second searchable Adobe copy of the Financial Proposal, with confidential and proprietary information removed (see **Section 4.8**).

### 5.3 Volume I - Technical Proposal

NOTE: Omit all **pricing information** from the Technical Proposal (Volume I). Include pricing information only in the Financial Proposal (Volume II).

- 5.3.1 In addition to the instructions below, responses in the Offeror's Technical Proposal shall reference the organization and numbering of Sections in the RFP (e.g., "Section 2.2.1 Response . . . ; "Section 2.2.2 Response . . ."). All pages of both Proposal volumes shall be consecutively numbered from beginning (Page 1) to end (Page "x").
- 5.3.2 The Technical Proposal shall include the following documents and information in the order specified as follows. Each section of the Technical Proposal shall be separated by a TAB as detailed below:
- A. Title Page and Table of Contents (Submit under TAB A)
- The Technical Proposal should begin with a Title Page bearing the name and address of the Offeror and the name and number of this RFP. A Table of Contents shall follow the Title Page for the Technical Proposal, organized by section, subsection, and page number.
- B. Claim of Confidentiality (If applicable, submit under TAB A-1)
- Any information which is claimed to be confidential and/or proprietary information should be identified by page and section number and placed after the Title Page and before the Table of Contents in the Technical Proposal, and if applicable, separately in the Financial Proposal. An explanation for each claim of confidentiality shall be

included (see **Section 4.8 “Public Information Act Notice”**). The entire Proposal cannot be given a blanket confidentiality designation - any confidentiality designation must apply to specific sections, pages, or portions of pages of the Proposal and an explanation for each claim shall be included.

C. Offeror Information Sheet and Transmittal Letter (Submit under TAB B)

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

D. Executive Summary (Submit under TAB C)

The Offeror shall condense and highlight the contents of the Technical Proposal in a separate section titled “Executive Summary.”

In addition, the Summary shall indicate whether the Offeror is the subsidiary of another entity, and if so, whether all information submitted by the Offeror pertains exclusively to the Offeror. If not, the subsidiary Offeror shall include a guarantee of performance from its parent organization as part of its Executive Summary (see **Section 4.16 “Offeror Responsibilities”**).

The Executive Summary shall also identify any exceptions the Offeror has taken to the requirements of this RFP, the Contract (**Attachment M**), or any other exhibits or attachments. Acceptance or rejection of exceptions is within the sole discretion of the State. **Exceptions to terms and conditions, including requirements, may result in having the Proposal deemed unacceptable or classified as not reasonably susceptible of being selected for award.**

E. Minimum Qualifications Documentation (If applicable, Submit under TAB D)

The Offeror shall submit any Minimum Qualifications documentation that may be required, as set forth in RFP **Section 1**. If references are required in **RFP Section 1**, those references shall be submitted in this section and shall contain the information described in both **Section 1** and **Section 5.3.2.I**.

F. Offeror Technical Response to RFP Requirements and Proposed Work Plan (Submit under TAB E)

- 1) The Offeror shall address each Scope of Work requirement (see Attachment P-1, P-2, P-3, P-4 and P-5) in its Technical Proposal with a cross reference to the requirement and describe how its proposed goods and services, including the goods and services of any proposed subcontractor(s), will meet or exceed the requirement(s). If the State is seeking Offeror agreement to any requirement(s), the Offeror shall state its agreement or disagreement. Any paragraph in the Technical Proposal that responds to an RFP requirement shall include an explanation of how the work will be performed. The response shall address each requirement in **Section 2** and **Section 3** in order, and shall contain a cross reference to the requirement.
- 2) Any exception to a requirement, term, or condition may result in having the Proposal classified as not reasonably susceptible of being selected for award or the Offeror deemed not responsible.
- 3) The Offeror shall give a definitive section-by-section description of the proposed plan to meet the requirements of the RFP, i.e., a Work Plan. The Work Plan shall include the specific methodology, techniques, and number of staff, if applicable, to be used by the Offeror in providing the required goods and services as outlined in RFP **Section 2**, Contractor Requirements: Scope of Work. The description shall include an outline of the overall management concepts employed by the Offeror and a project management plan, including project control mechanisms and overall timelines. Project deadlines considered contract deliverables must be recognized in the Work Plan.

- 4) The Offeror shall identify the location(s) from which it proposes to provide services, including, if applicable, any current facilities that it operates, and any required construction to satisfy the State's requirements as outlined in this RFP.
- 5) The Offeror shall provide a draft Problem Escalation Procedure (PEP) that includes, at a minimum, titles of individuals to be contacted by the Contract Monitor should problems arise under the Contract and explains how problems with work under the Contract will be escalated in order to resolve any issues in a timely manner. Final procedures shall be submitted as indicated in **Section 3.8**.
- 6) Non-Compete Clause Prohibition:  
  
The Department seeks to maximize the retention of personnel working under the Contract whenever there is a transition of the Contract from one contractor to another so as to minimize disruption due to a change in contractor and maximize the maintenance of institutional knowledge accumulated by such personnel. To help achieve this objective of staff retention, each Offeror shall agree that if awarded the Contract, the Offeror's employees and agents filling the positions set forth in the staffing requirements of Section {enter applicable P-1, P-2, P-3, P-4, or P-5 subsection number(s)] working on the State contract shall be free to work for the contractor awarded the State contract notwithstanding any non-compete clauses to which the employee(s) may be subject. The Offeror agrees not to enforce any non-compete restrictions against the State with regard to these employees and agents if a different vendor succeeds it in the performance of the Contract. To evidence compliance with this non-compete clause prohibition, each Offeror must include an affirmative statement in its technical Proposal that the Offeror, if awarded a Contract, agrees that its employees and agents shall not be restricted from working with or for any successor contractor that is awarded the State business.

G. Experience and Qualifications of Proposed Staff (Submit under TAB F)

As part of the evaluation of the Proposal for this RFP, Offerors shall propose exactly three (3) key resources and shall describe in a Staffing Plan how additional resources shall be acquired to meet the needs of the Department. All other planned positions shall be described generally in the Staffing Plan, and may not be used as evidence of fulfilling company or personnel minimum qualifications.

The Offeror shall identify the qualifications and types of staff proposed to be utilized under the Contract including information in support of the Personnel Experience criteria in **Section 3.10.2**. Specifically, the Offeror shall:

- 1) Describe in detail how the proposed staff's experience and qualifications relate to their specific responsibilities, including any staff of proposed subcontractor(s), as detailed in the Work Plan.
- 2) Include individual resumes for Key Personnel, including Key Personnel for any proposed subcontractor(s), who are to be assigned to the project if the Offeror is awarded the Contract. Each resume should include the amount of experience the individual has had relative to the Scope of Work set forth in this solicitation.
- 3) Include letters of intended commitment to work on the project, including letters from any proposed subcontractor(s). Offerors should be aware of restrictions on substitution of Key Personnel prior to RFP award (see Substitution Prior to and Within 30 Days After Contract Execution in Section 3.11.5).
- 4) Provide an Organizational Chart outlining Personnel and their related duties. The Offeror shall include job titles and the percentage of time each individual will spend on his/her assigned tasks. Offerors using job titles other than those commonly used by industry standards must provide a crosswalk reference document.

- 5) If proposing differing personnel work hours than identified in the RFP, describe how and why it proposes differing personnel work hours.

**H. Offeror Qualifications and Capabilities (Submit under TAB G)**

The Offeror shall include information on past experience with similar projects and services including information in support of the Offeror Experience criteria in **Section 3.10.1**. The Offeror shall describe how its organization can meet the requirements of this RFP and shall also include the following information:

- 1) The number of years the Offeror has provided the similar goods and services;
- 2) The number of clients/customers and geographic locations that the Offeror currently serves;
- 3) The names and titles of headquarters or regional management personnel who may be involved with supervising the services to be performed under the Contract;
- 4) The Offeror's process for resolving billing errors; and
- 5) An organizational chart that identifies the complete structure of the Offeror including any parent company, headquarters, regional offices, and subsidiaries of the Offeror.

**I. References (Submit under TAB H)**

At least three (3) references are requested from customers who are capable of documenting the Offeror's ability to provide the goods and services specified in this RFP. References used to meet any Minimum Qualifications (see RFP **Section 1**) may be used to meet this request. Each reference shall be from a client for whom the Offeror has provided goods and services within the past five (5) years and shall include the following information:

- 1) Name of client organization;
- 2) Name, title, telephone number, and e-mail address, if available, of point of contact for client organization; and
- 3) Value, type, duration, and description of goods and services provided.

The Department reserves the right to request additional references or utilize references not provided by the Offeror. Points of contact must be accessible and knowledgeable regarding Offeror performance.

**J. List of Current or Prior State Contracts (Submit under TAB I)**

Provide a list of all contracts with any entity of the State of Maryland for which the Offeror is currently performing goods and services or for which services have been completed within the last five (5) years. For each identified contract, the Offeror is to provide:

- 1) The State contracting entity;
- 2) A brief description of the goods and services provided;
- 3) The dollar value of the contract;
- 4) The term of the contract;
- 5) The State employee contact person (name, title, telephone number, and, if possible, e-mail address); and
- 6) Whether the contract was terminated before the end of the term specified in the original contract, including whether any available renewal option was not exercised.

Information obtained regarding the Offeror's level of performance on State contracts will be used by the Procurement Officer to determine the responsibility of the Offeror and considered as part of the experience and past performance evaluation criteria of the RFP.

**K. Financial Capability (Submit under TAB J)**

The Offeror must include in its Proposal a commonly-accepted method to prove its fiscal integrity. If available, the Offeror shall include Financial Statements, preferably a Profit and Loss (P&L) statement and a Balance Sheet, for the last two (2) years (independently audited preferred).

In addition, the Offeror may supplement its response to this Section by including one or more of the following with its response:

- 1) Dun & Bradstreet Rating;
- 2) Standard and Poor's Rating;
- 3) Lines of credit;
- 4) Evidence of a successful financial track record; and
- 5) Evidence of adequate working capital.

**L. Certificate of Insurance (Submit under TAB K)**

The Offeror shall provide a copy of its current certificate of insurance showing the types and limits of insurance in effect as of the Proposal submission date. The current insurance types and limits do not have to be the same as described in **Section 3.6**. See **Section 3.6** for the required insurance certificate submission for the apparent awardee.

**M. Subcontractors (Submit under TAB L)**

The Offeror shall provide a complete list of all subcontractors that will work on the Contract if the Offeror receives an award, including those utilized in meeting the MBE and VSBE subcontracting goal(s), if applicable. This list shall include a full description of the duties each subcontractor will perform and why/how each subcontractor was deemed the most qualified for this project. If applicable, subcontractors utilized in meeting the established MBE or VSBE participation goal(s) for this solicitation shall be identified as provided in the appropriate attachment(s) of this RFP.

**N. Legal Action Summary (Submit under TAB M)**

This summary shall include:

- 1) A statement as to whether there are any outstanding legal actions or potential claims against the Offeror and a brief description of any action;
- 2) A brief description of any settled or closed legal actions or claims against the Offeror over the past five (5) years;
- 3) A description of any judgments against the Offeror within the past five (5) years, including the court, case name, complaint number, and a brief description of the final ruling or determination; and
- 4) In instances where litigation is ongoing and the Offeror has been directed not to disclose information by the court, provide the name of the judge and location of the court.
- 5) Proposals that identify specific benefits as being contractually enforceable commitments will be rated more favorably than Proposals that do not identify specific benefits as contractual commitments, all other factors being equal.



- 6) Offerors shall identify any performance guarantees that will be enforceable by the State if the full level of promised benefit is not achieved during the Contract term.
  - 7) As applicable, for the full duration of the Contract, including any renewal period, or until the commitment is satisfied, the Contractor shall provide to the Procurement Officer or other designated agency personnel reports of the actual attainment of each benefit listed in response to this section. These benefit attainment reports shall be provided quarterly, unless elsewhere in these specifications a different reporting frequency is stated.
  - 8) In responding to this section, the following do not generally constitute economic benefits to be derived from the Contract:
    - a) generic statements that the State will benefit from the Offeror's superior performance under the Contract;
    - b) descriptions of the number of Offeror employees located in Maryland other than those that will be performing work under the Contract; or
    - c) tax revenues from Maryland-based employees or locations, other than those that will be performing, or used to perform, work under the Contract.
  - 9) Discussion of Maryland-based employees or locations may be appropriate if the Offeror makes some projection or guarantee of increased or retained presence based upon being awarded the Contract.
  - 10) Examples of economic benefits to be derived from a contract may include any of the following. For each factor identified below, identify the specific benefit and contractual commitments and provide a breakdown of expenditures in that category:
    - a) The Contract dollars to be recycled into Maryland's economy in support of the Contract, through the use of Maryland subcontractors, suppliers and joint venture partners. **Do not include actual fees or rates paid to subcontractors or information from your Financial Proposal;**
    - b) The number and types of jobs for Maryland residents resulting from the Contract. Indicate job classifications, number of employees in each classification and the aggregate payroll to which the Offeror has committed, including contractual commitments at both prime and, if applicable, subcontract levels; and whether Maryland employees working at least 30 hours per week and are employed at least 120 days during a 12-month period will receive paid leave. If no new positions or subcontracts are anticipated as a result of the Contract, so state explicitly;
    - c) Tax revenues to be generated for Maryland and its political subdivisions as a result of the Contract. Indicate tax category (sales taxes, payroll taxes, inventory taxes and estimated personal income taxes for new employees). Provide a forecast of the total tax revenues resulting from the Contract;
    - d) Subcontract dollars committed to Maryland small businesses and MBEs; and
    - e) Other benefits to the Maryland economy which the Offeror promises will result from awarding the Contract to the Offeror, including contractual commitments. Describe the benefit, its value to the Maryland economy, and how it will result from, or because of the Contract award. Offerors may commit to benefits that are not directly attributable to the Contract, but for which the Contract award may serve as a catalyst or impetus.
- O. Economic Benefit Factors (Submit under TAB N)
- 1) The Offeror shall submit with its Proposal a narrative describing benefits that will accrue to the Maryland economy as a direct or indirect result of its performance of the Contract. Proposals will be evaluated to



- assess the benefit to Maryland's economy specifically offered. The economic benefit offered should be consistent with the Offeror's Total Proposal Price for each Functional Area. See COMAR 21.05.03.03A (3).
- 2) Proposals that identify specific benefits as being contractually enforceable commitments will be rated more favorably than Proposals that do not identify specific benefits as contractual commitments, all other factors being equal.
  - 3) Offerors shall identify any performance guarantees that will be enforceable by the State if the full level of promised benefit is not achieved during the Contract term.
  - 4) As applicable, for the full duration of the Contract, including any renewal period, or until the commitment is satisfied, the Contractor shall provide to the Procurement Officer or other designated agency personnel reports of the actual attainment of each benefit listed in response to this section. These benefit attainment reports shall be provided quarterly, unless elsewhere in these specifications a different reporting frequency is stated.
  - 5) In responding to this section, the following do not generally constitute economic benefits to be derived from the Contract:
    - a) generic statements that the State will benefit from the Offeror's superior performance under the Contract;
    - b) descriptions of the number of Offeror employees located in Maryland other than those that will be performing work under the Contract; or
    - c) tax revenues from Maryland-based employees or locations, other than those that will be performing, or used to perform, work under the Contract.
  - 6) Discussion of Maryland-based employees or locations may be appropriate if the Offeror makes some projection or guarantee of increased or retained presence based upon being awarded the Contract.
  - 7) Examples of economic benefits to be derived from a contract may include any of the following. For each factor identified below, identify the specific benefit and contractual commitments and provide a breakdown of expenditures in that category:
    - a) The Contract dollars to be recycled into Maryland's economy in support of the Contract, through the use of Maryland subcontractors, suppliers and joint venture partners. **Do not include actual fees or rates paid to subcontractors or information from your Financial Proposal;**
    - b) The number and types of jobs for Maryland residents resulting from the Contract. Indicate job classifications, number of employees in each classification and the aggregate payroll to which the Offeror has committed, including contractual commitments at both prime and, if applicable, subcontract levels; and whether Maryland employees working at least 30 hours per week and are employed at least 120 days during a 12-month period will receive paid leave. If no new positions or subcontracts are anticipated as a result of the Contract, so state explicitly;
    - c) Tax revenues to be generated for Maryland and its political subdivisions as a result of the Contract. Indicate tax category (sales taxes, payroll taxes, inventory taxes and estimated personal income taxes for new employees). Provide a forecast of the total tax revenues resulting from the Contract;
    - d) Subcontract dollars committed to Maryland small businesses and MBEs; and
    - e) Other benefits to the Maryland economy which the Offeror promises will result from awarding the Contract to the Offeror, including contractual commitments. Describe the benefit, its value to the

Maryland economy, and how it will result from, or because of the Contract award. Offerors may commit to benefits that are not directly attributable to the Contract, but for which the Contract award may serve as a catalyst or impetus.

**P. Technical Proposal - Required Forms and Certifications (Submit under TAB O)**

- 1) All forms required for the Technical Proposal are identified in Table 1 of **Section 7** – RFP Attachments and Appendices. Unless directed otherwise by instructions within an individual form, complete, sign, and include all required forms in the Technical Proposal, under TAB O.
- 2) Offerors shall furnish any and all agreements and terms and conditions the Offeror expects the State to sign or to be subject to in connection with or in order to use the Offeror's services under this Contract. This includes physical copies of all agreements referenced and incorporated in primary documents, including but not limited to any software licensing agreement for any software proposed to be licensed to the State under this Contract (e.g., EULA, Enterprise License Agreements, Professional Service agreement, Master Agreement) and any AUP. The State does not agree to terms and conditions not provided in an Offeror's Technical Proposal and no action of the State, including but not limited to the use of any such software, shall be deemed to constitute acceptance of any such terms and conditions. Failure to comply with this section renders any such agreement unenforceable against the State.
- 3) For each service, hardware or software proposed as furnished by a third-party entity, Offeror must identify the third-party provider and provide a letter of authorization or such other documentation demonstrating the authorization for such services. In the case of an open source license, authorization for the open source shall demonstrate compliance with the open source license.
- 4) A Letter of Authorization shall be on letterhead or through the provider's e-mail. Further, each Letter of Authorization shall be less than twelve (12) months old and must provide the following information:
  - i) Third-party POC name and alternate for verification
  - ii) Third-party POC mailing address
  - iii) Third-party POC telephone number
  - iv) Third-party POC email address
  - v) If available, a Re-Seller Identifier

## **5.4 Volume II – Financial Proposal**

The Financial Proposal shall contain all price information in the format specified in **Attachment B**. The Offeror shall complete the Financial Proposal Form only as provided in the Financial Proposal Instructions and the Financial Proposal Form itself. Do not amend, alter, or leave blank any items on the Financial Proposal Form or include additional clarifying or contingent language on or attached to the Financial Proposal Form. Failure to adhere to any of these instructions may result in the Proposal being determined to be not reasonably susceptible of being selected for award and rejected by the Department.

**THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK.**

## 6 Evaluation and Selection Process

### 6.1 Evaluation Committee

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

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

### 6.2 Technical Proposal Evaluation Criteria

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

#### 6.2.1 Offeror's Technical Response to Requirements and Work Plan (See RFP § 5.3.2.F)

The State prefers the Offeror's Technical Proposal to illustrate a comprehensive understanding of work requirements and mastery of the subject matter, including an explanation of how the work will be performed. Proposals which include limited responses to work requirements such as "concur" or "will comply" will receive a lower ranking than those Proposals that demonstrate an understanding of the work requirements and include plans to meet or exceed them.

#### 6.2.2 Experience and Qualifications of Proposed Staff (See RFP § 5.3.2.G)

#### 6.2.3 Offeror Qualifications and Capabilities, including proposed subcontractors (See RFP § 5.3.2.H)

#### 6.2.4 Economic Benefit to State of Maryland (See RFP § 5.3.2.O)

### 6.3 Financial Proposal Evaluation Criteria

All Qualified Offerors (see **Section 6.5.2.D**) will be ranked from the lowest (most advantageous) to the highest (least advantageous) price based on the Total Proposal Price within the stated guidelines set forth in this RFP and as submitted on **Attachment B** - Financial Proposal Form.

### 6.4 Reciprocal Preference

#### 6.4.1 Although Maryland law does not authorize procuring agencies to favor resident Offerors in awarding procurement contracts, many other states do grant their resident businesses preferences over Maryland contractors. COMAR 21.05.01.04 permits procuring agencies to apply a reciprocal preference under the following conditions:

- A. The Maryland resident business is a responsible Offeror;
- B. The most advantageous Proposal is from a responsible Offeror whose principal office, or principal base of operations is in another state;
- C. The other state gives a preference to its resident businesses through law, policy, or practice; and
- D. The preference does not conflict with a federal law or grant affecting the procurement Contract.

#### 6.4.2 The preference given shall be identical to the preference that the other state, through law, policy, or practice gives to its resident businesses.

## 6.5 Selection Procedures

### 6.5.1 General

- A. The Contract will be awarded in accordance with the Competitive Sealed Proposals (CSP) method found at COMAR 21.05.03. The CSP method allows for the conducting of discussions and the revision of Proposals during these discussions. Therefore, the State may conduct discussions with all Offerors that have submitted Proposals that are determined to be reasonably susceptible of being selected for contract award or potentially so. However, the State reserves the right to make an award without holding discussions.
- B. With or without discussions, the State may determine the Offeror to be not responsible or the Offeror's Proposal to be not reasonably susceptible of being selected for award at any time after the initial closing date for receipt of Proposals and prior to Contract award.

### 6.5.2 Selection Process Sequence

- A. A determination is made that the MDOT Certified MBE Utilization and Fair Solicitation Affidavit (**Attachment D-1A**) is included and is properly completed, if there is a MBE goal. In addition, a determination is made that the VSBE Utilization Affidavit and subcontractor Participation Schedule (**Attachment E-1**) is included and is properly completed, if there is a VSBE goal.
- B. Technical Proposals are evaluated for technical merit and ranked. During this review, oral presentations and discussions may be held. The purpose of such discussions will be to assure a full understanding of the State's requirements and the Offeror's ability to perform the services, as well as to facilitate arrival at a Contract that is most advantageous to the State. Offerors will be contacted by the State as soon as any discussions are scheduled.
- C. Offerors must confirm in writing any substantive oral clarifications of, or changes in, their Technical Proposals made in the course of discussions. Any such written clarifications or changes then become part of the Offeror's Technical Proposal. Technical Proposals are given a final review and ranked.
- D. The Financial Proposal of each Qualified Offeror (a responsible Offeror determined to have submitted an acceptable Proposal) will be evaluated and ranked separately from the Technical evaluation. After a review of the Financial Proposals of Qualified Offerors, the Evaluation Committee or Procurement Officer may again conduct discussions to further evaluate the Offeror's entire Proposal.
- E. When in the best interest of the State, the Procurement Officer may permit Qualified Offerors to revise their initial Proposals and submit, in writing, Best and Final Offers (BAFOs). The State may make an award without issuing a request for a BAFO. **Offerors may only perform limited substitutions of proposed personnel as allowed in Section 3.11 (Substitution of Personnel).**

### 6.5.3 Award Determination

Upon completion of the Technical Proposal and Financial Proposal evaluations and rankings, each Offeror will receive an overall ranking. The Procurement Officer will recommend award of the Contract to the responsible Offeror that submitted the Proposal determined to be the most advantageous to the State. In making this most advantageous Proposal determination, technical factors will receive greater weight than financial factors.

## 6.6 Documents Required upon Notice of Recommendation for Contract Award

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

**THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK.**

## 7 RFP ATTACHMENTS AND APPENDICES

### Instructions Page

A Proposal submitted by the Offeror must be accompanied by the completed forms and/or affidavits identified as “with Proposal” in the “When to Submit” column in Table 1 below. All forms and affidavits applicable to this RFP, including any applicable instructions and/or terms, are identified in the “Applies” and “Label” columns in Table 1.

For documents required as part of the Proposal:

- 1 For e-mail submissions, submit one (1) copy of each with signatures.
- 2 For paper submissions, submit two (2) copies of each with original signatures. All signatures must be clearly visible.

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

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

**Table 1: RFP ATTACHMENTS AND APPENDICES**

Applies?	When to Submit	Label	Attachment Name
Y	Before Proposal	A	Pre-Proposal Conference Response Form
Y	With Proposal	B	Financial Proposal Instructions and Form
Y	With Proposal	C	Bid/Proposal Affidavit (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid_Proposal-Affidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid_Proposal-Affidavit.pdf</a> )
Y	With Proposal	D	MBE Forms D-1A (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf</a> ) <b>IMPORTANT:</b> If this RFP contains different Functional Areas or Service Categories. A separate Attachment D-1A is to be submitted for each Functional Area or Service Category where there is a MBE goal.
Y	10 Business Days after recommended award	D	MBE Forms D-1B, D-1C, D-2, D-3A, D-3B (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf</a> ) <b>Important:</b> Attachment D-1C, if a waiver has been requested, is also required within 10 days of recommended award.

Applies?	When to Submit	Label	Attachment Name
Y	As directed in forms	D	MBE Forms D-4A, D-4B, D-5 (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf</a> )
Y	With Proposal	E	Veteran-Owned Small Business Enterprise (VSBE) Form E-1A (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentE-VSBEForms.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentE-VSBEForms.pdf</a> ) <b>IMPORTANT:</b> If this RFP contains different Functional Areas or Service Categories. A separate Attachment E-1A is to be submitted for each Functional Area or Service Category where there is a VSBE goal.
Y	5 Business Days after recommended award	E	VSBE Forms E-1B, E-2, E-3 (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentE-VSBEForms.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentE-VSBEForms.pdf</a> ) <b>Important:</b> Attachment E-1B, if a waiver has been requested, is also required within 10 days of recommended award.
Y	With Proposal	F	Maryland Living Wage Requirements for Service Contracts and Affidavit of Agreement (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentF-LivingWageAffidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentF-LivingWageAffidavit.pdf</a> )
N	With Proposal	G	Federal Funds Attachments (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentG-FederalFundsAttachment.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentG-FederalFundsAttachment.pdf</a> )
Y	With Proposal	H	Conflict of Interest Affidavit and Disclosure (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentH-Conflict-of-InterestAffidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentH-Conflict-of-InterestAffidavit.pdf</a> )

Y	5 Business Days after recommended award – However, suggested with Proposal	I	Non-Disclosure Agreement (Contractor) (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-I-Non-DisclosureAgreementContractor.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-I-Non-DisclosureAgreementContractor.pdf</a> )
N	5 Business Days after recommended award – However, suggested with Proposal	J	HIPAA Business Associate Agreement (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-J-HIPAABusinessAssociateAgreement.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-J-HIPAABusinessAssociateAgreement.pdf</a> )
N	With Proposal	K	Mercury Affidavit (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-K-MercuryAffidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-K-MercuryAffidavit.pdf</a> )
Y	With Proposal	L	Location of the Performance of Services Disclosure (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-L-PerformanceofServicesDisclosure.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-L-PerformanceofServicesDisclosure.pdf</a> )
Y	5 Business Days after recommended award	M	Sample Contract (included in this RFP)
Y	5 Business Days after recommended award	N	Contract Affidavit (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-N-ContractAffidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-N-ContractAffidavit.pdf</a> )
N	5 Business Days after recommended award	O	DHS Hiring Agreement (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-O-DHSHiringAgreement.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-O-DHSHiringAgreement.pdf</a> )
<b>Appendices</b>			
<b>Applies?</b>	<b>When to Submit</b>	<b>Label</b>	<b>Attachment Name</b>
Y	n/a	1	Abbreviations and Definitions (included in this RFP)
Y	With Proposal	2	Offeror Information Sheet (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Appendix2-Bidder_OfferorInformationSheet.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Appendix2-Bidder_OfferorInformationSheet.pdf</a> )
Y	Before Proposal, as directed in the RFP.	3	Non-Disclosure Agreement (Offeror) (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/Appendix-3-Non-Disclosure-Agreement-Offeror-1.dotx">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/Appendix-3-Non-Disclosure-Agreement-Offeror-1.dotx</a> )
Y	n/a		Labor Categories



			(see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/Appendix-x-Labor-Categories.dotx">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/Appendix-x-Labor-Categories.dotx</a> )
Additional Submissions			
Applies?	When to Submit	Label	Document Name
Y	5 Business Days after recommended award		Evidence of meeting insurance requirements (see <b>Section 3.6</b> ); 1 copy
Y	10 Business Days after recommended award		PEP; 1 copy
N	With deliverables	--	Deliverable Product Acceptance Form (DPAF) (see online at <a href="http://doit.maryland.gov/contracts/Documents/_procurementForms/DeliverableProductAcceptanceForm-DPAFsample.pdf">http://doit.maryland.gov/contracts/Documents/_procurementForms/DeliverableProductAcceptanceForm-DPAFsample.pdf</a> )

**Attachment A. Pre-Proposal Conference Response Form**

**Solicitation Number K00R9400197A**

Economic Studies Integrator -- Technical Assistance in Electric Utility Economics

A Pre-Proposal conference will be held on June 13, 2018, at Tawes State Office Building, C-1 Conference Room, 580 Taylor Avenue, Annapolis, MD 21401.

Please return this form by June 11, 2019, advising whether or not your firm plans to attend. The completed form should be returned via e-mail or fax to the Power Plant Research Program at the contact information below:

Ms. Gayle Moreland

E-mail: [Gayle.Moreland@maryland.gov](mailto:Gayle.Moreland@maryland.gov)

Please indicate:

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

Attendees (Check the RFP for limits to the number of attendees allowed):

- 1.
- 2.
- 3.

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

Please specify whether any reasonable accommodations are requested (see RFP § 4.1 "Pre-Proposal conference"):

Offeror:

\_\_\_\_\_  
*Offeror Name (please print or type)*

By:

\_\_\_\_\_  
*Signature/Seal*

Printed Name:

\_\_\_\_\_  
*Printed Name*

Title:

\_\_\_\_\_  
*Title*

Date:

\_\_\_\_\_  
*Date*

## Attachment B. Financial Proposal Instructions & Form

### B-1 Financial Proposal Instructions

In order to assist Offerors in the preparation of their Financial Proposal and to comply with the requirements of this solicitation, Financial Proposal Instructions and a Financial Proposal Form have been prepared. Offerors shall submit their Financial Proposal on the Financial Proposal Form in accordance with the instructions on the Financial Proposal Form and as specified herein. Do not alter the Financial Proposal Form or the Proposal may be determined to be not reasonably susceptible of being selected for award. The Financial Proposal Form is to be signed and dated, where requested, by an individual who is authorized to bind the Offeror to the prices entered on the Financial Proposal Form.

The Financial Proposal Form is used to calculate the Offeror's TOTAL Proposal PRICE. Follow these instructions carefully when completing your Financial Proposal Form:

- A) All Unit and Extended Prices must be clearly entered in dollars and cents, e.g., \$24.15. Make your decimal points clear and distinct.
- B) All Unit Prices must be the actual price per unit the State will pay for the specific item or service identified in this RFP and may not be contingent on any other factor or condition in any manner.
- C) All calculations shall be rounded to the nearest cent, e.g., .344 shall be .34 and .345 shall be .35.
- D) Any goods or services required through this RFP and proposed by the vendor at **No Cost to the State** must be clearly entered in the Unit Price, if appropriate, and Extended Price with **\$0.00**.
- E) Every blank in every Financial Proposal Form shall be filled in. Any changes or corrections made to the Financial Proposal Form by the Offeror prior to submission shall be initialed and dated.
- F) Except as instructed on the Financial Proposal Form, nothing shall be entered on or attached to the Financial Proposal Form that alters or proposes conditions or contingencies on the prices. Alterations and/or conditions may render the Proposal not reasonably susceptible of being selected for award.
- G) It is imperative that the prices included on the Financial Proposal Form have been entered correctly and calculated accurately by the Offeror and that the respective total prices agree with the entries on the Financial Proposal Form. Any incorrect entries or inaccurate calculations by the Offeror will be treated as provided in COMAR 21.05.03.03.F, and may cause the Proposal to be rejected.
- H) If option years are included, Offerors must submit pricing for each option year. Any option to renew will be exercised at the sole discretion of the State and comply with all terms and conditions in force at the time the option is exercised. If exercised, the option period shall be for a period identified in the RFP at the prices entered in the Financial Proposal Form.
- I) All Financial Proposal prices entered below are to be fully loaded prices that include all costs/expenses associated with the provision of services as required by the RFP. The Financial Proposal price shall include, but is not limited to, all: labor, profit/overhead, general operating, administrative, and all other expenses and costs necessary to perform the work set forth in the solicitation. No other amounts will be paid to the Contractor. If labor rates are requested, those amounts shall be fully-loaded rates; no overtime amounts will be paid.
- J) Unless indicated elsewhere in the RFP, sample amounts used for calculations on the Financial Proposal Form are typically estimates for evaluation purposes only. Unless stated otherwise in the RFP, the Department does not guarantee a minimum or maximum number of units or usage in the performance of the Contract.
- K) Failure to adhere to any of these instructions may result in the Proposal being determined not reasonably susceptible of being selected for award.

**B-1 Financial Proposal Form**

The Financial Proposal Form shall contain all price information in the format specified on these pages. Complete the Financial Proposal Form only as provided in the Financial Proposal Instructions. Do not amend, alter or leave blank any items on the Financial Proposal Form. If option years are included, Offerors must submit pricing for each option year. Failure to adhere to any of these instructions may result in the Proposal being determined not reasonably susceptible of being selected for award.

See separate Excel Financial Proposal Form labeled K00R9400197A\_Financial\_Proposal\_Form.xls.

Submitted by:

Offeror:

Offeror Name (please print or type)

By:

Signature of Authorized Representative

Printed Name:

Printed Name

Title:

Title

Date:

Date

Address:

Company Address

**Attachment C. Proposal Affidavit**

See link at [http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid\\_Proposal-Affidavit.pdf](http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid_Proposal-Affidavit.pdf).

## Attachment D. Minority Business Enterprise (MBE) Forms

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentDMBE-Forms-1.pdf>.

This solicitation includes a Minority Business Enterprise (MBE) participation goal of 15 percent and no subgoals.

]

## **Attachment E. Veteran-Owned Small Business Enterprise (VSBE) Forms**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentE-VSBEForms.pdf>.

This solicitation includes a VSBE participation goal of 1 percent.



## Attachment F. Maryland Living Wage Affidavit of Agreement for Service Contracts

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentF-LivingWageAffidavit.pdf> to complete the Affidavit.

- A. This contract is subject to the Living Wage requirements under Md. Code Ann., State Finance and Procurement Article, Title 18, and the regulations proposed by the Commissioner of Labor and Industry (Commissioner). The Living Wage generally applies to a Contractor or subcontractor who performs work on a State contract for services that is valued at \$100,000 or more. An employee is subject to the Living Wage if he/she is at least 18 years old or will turn 18 during the duration of the contract; works at least 13 consecutive weeks on the State Contract and spends at least one-half of the employee's time during any work week on the State Contract.
- B. The Living Wage Law does not apply to:
  - (1) A Contractor who:
    - (a) Has a State contract for services valued at less than \$100,000, or
    - (b) Employs 10 or fewer employees and has a State contract for services valued at less than \$500,000.
  - (2) A subcontractor who:
    - (a) Performs work on a State contract for services valued at less than \$100,000,
    - (b) Employs 10 or fewer employees and performs work on a State contract for services valued at less than \$500,000, or
    - (c) Performs work for a Contractor not covered by the Living Wage Law as defined in B(1)(b) above, or B (3) or C below.
  - (3) Service contracts for the following:
    - (a) Services with a Public Service Company;
    - (b) Services with a nonprofit organization;
    - (c) Services with an officer or other entity that is in the Executive Branch of the State government and is authorized by law to enter into a procurement ("Unit"); or
    - (d) Services between a Unit and a County or Baltimore City.
- C. If the Unit responsible for the State contract for services determines that application of the Living Wage would conflict with any applicable Federal program, the Living Wage does not apply to the contract or program.
- D. A Contractor must not split or subdivide a State contract for services, pay an employee through a third party, or treat an employee as an independent Contractor or assign work to employees to avoid the imposition of any of the requirements of Md. Code Ann., State Finance and Procurement Article, Title 18.
- E. Each Contractor/subcontractor, subject to the Living Wage Law, shall post in a prominent and easily accessible place at the work site(s) of covered employees a notice of the Living Wage Rates, employee rights under the law, and the name, address, and telephone number of the Commissioner.
- F. The Commissioner shall adjust the wage rates by the annual average increase or decrease, if any, in the Consumer Price Index for all urban consumers for the Washington/Baltimore metropolitan area, or any successor index, for the previous calendar year, not later than 90 days after the start of each fiscal year. The Commissioner shall publish any adjustments to the wage rates on the Division of Labor and Industry's website. An employer subject to the Living

Wage Law must comply with the rate requirements during the initial term of the contract and all subsequent renewal periods, including any increases in the wage rate, required by the Commissioner, automatically upon the effective date of the revised wage rate.

- G. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer's share of the health insurance premium, as provided in Md. Code Ann., State Finance and Procurement Article, §18-103(c), shall not lower an employee's wage rate below the minimum wage as set in Md. Code Ann., Labor and Employment Article, §3-413. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer's share of health insurance premium shall comply with any record reporting requirements established by the Commissioner.
- H. A Contractor/subcontractor may reduce the wage rates paid under Md. Code Ann., State Finance and Procurement Article, §18-103(a), by no more than 50 cents of the hourly cost of the employer's contribution to an employee's deferred compensation plan. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer's contribution to an employee's deferred compensation plan shall not lower the employee's wage rate below the minimum wage as set in Md. Code Ann., Labor and Employment Article, §3-413.
- I. Under Md. Code Ann., State Finance and Procurement Article, Title 18, if the Commissioner determines that the Contractor/subcontractor violated a provision of this title or regulations of the Commissioner, the Contractor/subcontractor shall pay restitution to each affected employee, and the State may assess liquidated damages of \$20 per day for each employee paid less than the Living Wage.
- J. Information pertaining to reporting obligations may be found by going to the Division of Labor and Industry website <http://www.dllr.state.md.us/labor/prev/livingwage.shmtl> and clicking on Living Wage for State Service Contracts.

<b>Attachment G. Federal Funds Attachments</b>
--

This solicitation does not include a Federal Funds Attachment.

**Attachment H. Conflict of Interest Affidavit and Disclosure**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentH-Conflict-of-InterestAffidavit.pdf>.

**Attachment I. Non-Disclosure Agreement (Contractor)**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-I-Non-DisclosureAgreementContractor.pdf>.

<b>Attachment J.      HIPAA Business Associate Agreement</b>
--

This solicitation does not require a HIPAA Business Associate Agreement.

<b>Attachment K.      Mercury Affidavit</b>
---

This solicitation does not include the procurement of products known to likely include mercury as a component.



<b>Attachment L.</b>	<b>Location of the Performance of Services Disclosure</b>
----------------------	---

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-L-PerformanceofServicesDisclosure.pdf>.

**Attachment M. Contract**

Department of Natural Resources (DNR)

“Economic Studies Integrator -- Technical Assistance in Electric Utility Economics”

K00R9400197A

THIS CONTRACT (the “Contract”) is made this \_\_\_\_ day of \_\_\_\_\_, 20\_\_ by and between \_\_\_\_\_ (the “Contractor”) and the STATE OF MARYLAND, acting through the MARYLAND Department of Natural Resources (“DNR” or the “Department”).

In consideration of the promises and the covenants herein contained, the adequacy and sufficiency of which are hereby acknowledged by the parties, the parties agree as follows:

**1. Definitions**

In this Contract, the following words have the meanings indicated:

- 1.1 “COMAR” means Code of Maryland Regulations.
- 1.2 “Contractor” means the entity first named above whose principal business address is (Contractor’s primary address) and whose principal office in Maryland is (Contractor’s local address), whose Federal Employer Identification Number or Social Security Number is (Contractor’s FEIN), and whose eMaryland Marketplace vendor ID number is (eMM Number).
- 1.3 “Financial Proposal” means the Contractor’s Financial Proposal dated \_\_\_\_\_ (Financial Proposal date), as modified by any Best and Final Offer thereto.
- 1.4 Minority Business Enterprise (MBE) – Any legal entity certified as defined at COMAR 21.01.02.01B (54) which is certified by the Maryland Department of Transportation under COMAR 21.11.03.
- 1.5 “RFP” means the Request for Proposals for Technical Assistance in Economic Studies, Solicitation # K00R9400197A, and any amendments, addenda, and attachments thereto issued in writing by the State.
- 1.6 “State” means the State of Maryland.
- 1.7 “Technical Proposal” means the Contractor’s Technical Proposal dated. \_\_\_\_\_ (Technical Proposal date), as modified and supplemented by the Contractor’s responses to requests clarifications and requests for cure, and by any Best and Final Offer.
- 1.8 “Veteran-owned Small Business Enterprise” (VSBE) means A business that is verified by the Center for Verification and Evaluation (CVE) of the United States Department of Veterans Affairs as a veteran-owned small business. See Code of Maryland Regulations (COMAR) 21.11.13.
- 1.9 Capitalized terms not defined herein shall be ascribed the meaning given to them in the RFP.

**2. Scope of Contract**

- 2.1 The Contractor shall perform in accordance with this Contract and Exhibits A-D, which are listed below and incorporated herein by reference. If there is any conflict between this Contract and the Exhibits, the terms of the Contract shall control. If there is any conflict among the Exhibits, the following order of precedence shall determine the prevailing provision:

Exhibit A – The RFP

Exhibit B – The Contract Affidavit, executed by the Contractor and dated (date of Attachment C)

Exhibit C – The Technical Proposal

**Exhibit D – The Financial Proposal**

- 2.2 The Procurement Officer may, at any time, by written order, make unilateral changes in the work within the general scope of the Contract. No other order, statement, or conduct of the Procurement Officer or any other person shall be treated as a change or entitle the Contractor to an equitable adjustment under this section. Except as otherwise provided in this Contract, if any change under this section causes an increase or decrease in the 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 Contract price shall be made and the Contract modified in writing accordingly. The 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 Contractor shall be allowed if asserted after final payment under this Contract. Failure to agree to an adjustment under this section shall be a dispute under the Disputes clause. Nothing in this section shall excuse the Contractor from proceeding with the Contract as changed.
- 2.3 Without limiting the rights of the Procurement Officer under Section 2.2 above, the Contract may be modified by mutual agreement of the parties, provided: (a) the modification is made in writing; (b) all parties sign the modification; and (c) all approvals by the required agencies as described in COMAR Title 21, are obtained.

**3. Period of Performance**

- 3.1 The term of this Contract begins on the date the Contract is signed by the Department following any required prior approvals, including approval by the Board of Public Works, if such approval is required (the "Effective Date") and shall continue until \_\_\_\_\_ ("Initial Term").
- 3.2 The Contractor's performance under the Contract shall commence as of the date provided in a written NTP.
- 3.3 The Contractor's obligation to pay invoices to subcontractors providing products/services in connection with this Contract, as well as the audit; confidentiality; document retention; patents, copyrights & intellectual property; warranty; indemnification obligations; and limitations of liability under this Contract; and any other obligations specifically identified, shall survive expiration or termination of the Contract.

**4. Consideration and Payment**

- 4.1 In consideration of the satisfactory performance of the work set forth in this Contract, the Department shall pay the Contractor in accordance with the terms of this Contract and at the prices quoted in the Financial Proposal. Unless properly modified (see above Section 2), payment to the Contractor pursuant to this Contract, including the Initial Term and any Renewal Term, shall not exceed the Contracted amount.

Contractor shall notify the Contract Monitor, in writing, at least sixty (60) days before payments reach the NTE Amount. After notification by the Contractor, if the State fails to increase the Contract amount, the Contractor shall have no obligation to perform under this Contract after payments reach the stated amount; provided, however, that, prior to the stated amount being reached, the Contractor shall: (a) promptly consult and work in good faith with the Department to establish a plan of action to assure that every reasonable effort is undertaken by the Contractor to complete State-defined critical work in progress prior to the date the NTE Amount will be reached; and (b) when applicable secure databases, systems, platforms, and applications on which the Contractor is working in an industry standard manner so as to prevent damage or vulnerabilities to any of the same due to the existence of any such unfinished work.

- 4.2 Unless a payment is unauthorized, deferred, delayed, or set-off under COMAR 21.02.07, payments to the Contractor pursuant to this Contract shall be made no later than 30 days after the Department's receipt of a proper invoice from the Contractor as required by RFP section 3.3.

The Contractor may be eligible to receive late payment interest at the rate of 9% per annum if:

- (1) The Contractor submits an invoice for the late payment interest within thirty days after the date of the State's payment of the amount on which the interest accrued; and
- (2) A contract claim has not been filed under State Finance and Procurement Article, Title 15, Subtitle 2, Annotated Code of Maryland.

The State is not liable for interest:

- (1) Accruing more than one year after the 31st day after the agency receives the proper invoice; or
- (2) On any amount representing unpaid interest. Charges for late payment of invoices are authorized only as prescribed by Title 15, Subtitle 1, of the State Finance and Procurement Article, Annotated Code of Maryland, or by the Public Service Commission of Maryland with respect to regulated public utilities, as applicable.

Final payment under this Contract will not be made until after certification is received from the Comptroller of the State that all taxes have been paid.

Electronic funds transfer shall be used by the State to pay Contractor pursuant to this Contract and any other State payments due Contractor unless the State Comptroller's Office grants Contractor an exemption.

4.3 In addition to any other available remedies, if, in the opinion of the Procurement Officer, the Contractor fails to perform in a satisfactory and timely manner, the Procurement Officer may refuse or limit approval of any invoice for payment, and may cause payments to the Contractor to be reduced or withheld until such time as the Contractor meets performance standards as established by the Procurement Officer.

4.4 Payment of an invoice by the Department is not evidence that services were rendered as required under this Contract.

## **5. Rights to Records**

5.1 The 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 for purposes of this Contract shall be the sole property of the State and shall be available to the State at any time. The State shall have the right to use the same without restriction and without compensation to the Contractor other than that specifically provided by this Contract.

5.2 The Contractor agrees that at all times during the term of this Contract and thereafter, works created as a Deliverable under this Contract (as defined in **Section 7.2**), and services performed under this Contract shall be "works made for hire" as that term is interpreted under U.S. copyright law. To the extent that any products created as a Deliverable under this Contract are not works made for hire for the State, the Contractor hereby relinquishes, transfers, and assigns to the State all of its rights, title, and interest (including all intellectual property rights) to all such products created under this Contract, and will cooperate reasonably with the State in effectuating and registering any necessary assignments.

5.3 The Contractor shall report to the Contract Monitor, promptly and in written detail, each notice or claim of copyright infringement received by the Contractor with respect to all data delivered under this Contract.

5.4 The Contractor shall not affix any restrictive markings upon any data, documentation, or other materials provided to the State hereunder and if such markings are affixed, the State shall have the right at any time to modify, remove, obliterate, or ignore such warnings.

5.5 Upon termination or expiration of the Contract, the Contractor, at its own expense, shall deliver any equipment, software or other property provided by the State to the place designated by the Procurement Officer.

## **6. Exclusive Use**

- 6.1 The State shall have the exclusive right to use, duplicate, and disclose any data, information, documents, records, or results, in whole or in part, in any manner for any purpose whatsoever, that may be created or generated by the Contractor in connection with this Contract. If any material, including software, is capable of being copyrighted, the State shall be the copyright owner and Contractor may copyright material connected with this project only with the express written approval of the State.
- 6.2 Except as may otherwise be set forth in this Contract, Contractor shall not use, sell, sub-lease, assign, give, or otherwise transfer to any third party any other information or material provided to Contractor by the Department or developed by Contractor relating to the Contract, except as provided for in **Section 8. Confidential or Proprietary Information and Documentation**.

## **7. Patents, Copyrights, and Intellectual Property**

- 7.1. All copyrights, patents, trademarks, trade secrets, and any other intellectual property rights existing prior to the Effective Date of this Contract shall belong to the party that owned such rights immediately prior to the Effective Date ("Pre-Existing Intellectual Property"). If any design, device, material, process, or other item provided by Contractor is covered by a patent or copyright or which is proprietary to or a trade secret of another, the Contractor shall obtain the necessary permission or license to permit the State to use such item or items pursuant to its rights granted under the Contract.
- 7.2 Except for (1) information created or otherwise owned by the Department or licensed by the Department from third parties, including all information provided by the Department to Contractor; (2) materials created by Contractor or its subcontractor(s) specifically for the State under the Contract ("Deliverables"), except for any Contractor Pre-Existing Intellectual Property included therein; and (3) the license rights granted to the State, all right, title, and interest in the intellectual property embodied in the solution, including the know-how and methods by which the solution is provided and the processes that make up the solution, will belong solely and exclusively to Contractor and its licensors, and the Department will have no rights to the same except as expressly granted in this Contract. Any SaaS Software developed by Contractor during the performance of the Contract will belong solely and exclusively to Contractor and its licensors. For all Software provided by the Contractor under the Contract, Contractor hereby grants to the State a nonexclusive, irrevocable, unlimited, perpetual, non-cancelable, and non-terminable right to use and make copies of the Software and any modifications to the Software. For all Contractor Pre-Existing Intellectual Property embedded in any Deliverables, Contractor grants to the State a license to use such Contractor Pre-Existing Intellectual Property in connection with its permitted use of such Deliverable. During the period between delivery of a Deliverable by Contractor and the date of payment therefor by the State in accordance with this Contract (including throughout the duration of any payment dispute discussions), subject to the terms and conditions contained herein, Contractor grants the State a royalty-free, non-exclusive, limited license to use such Deliverable and to use any Contractor Materials contained therein in accordance with this Contract.
- 7.3. Subject to the terms of **Section 10**, Contractor shall defend, indemnify and hold harmless the State and its agents and employees, from and against any and all claims, costs, losses, damages, liabilities, judgments and expenses (including without limitation reasonable attorneys' fees) arising out of or in connection with any third party claim that the Contractor-provided products/services infringe, misappropriate or otherwise violate any third party intellectual property rights. Contractor shall not enter into any settlement involving third party claims that contains any admission of or stipulation to any guilt, fault, liability or wrongdoing by the State or that adversely affects the State's rights or interests, without the State's prior written consent.
- 7.4 Without limiting Contractor's obligations under Section 5.3, if an infringement claim occurs, or if the State or the Contractor believes such a claim is likely to occur, Contractor (after consultation with the State and at no cost to the State): (a) shall procure for the State the right to continue using the allegedly infringing component or service in accordance with its rights under this Contract; or (b) replace or modify the allegedly infringing component or service so that it becomes non-infringing and remains compliant with all applicable specifications.

- 7.5 Except as otherwise provided herein, Contractor shall not acquire any right, title or interest (including any intellectual property rights subsisting therein) in or to any goods, Software, technical information, specifications, drawings, records, documentation, data or any other materials (including any derivative works thereof) provided by the State to the Contractor. Notwithstanding anything to the contrary herein, the State may, in its sole and absolute discretion, grant the Contractor a license to such materials, subject to the terms of a separate writing executed by the Contractor and an authorized representative of the State as well as all required State approvals.
- 7.6 Without limiting the generality of the foregoing, neither Contractor nor any of its subcontractors shall use any Software or technology in a manner that will cause any patents, copyrights or other intellectual property which are owned or controlled by the State or any of its affiliates (or for which the State or any of its subcontractors has received license rights) to become subject to any encumbrance or terms and conditions of any third party or open source license (including, without limitation, any open source license listed on <http://www.opensource.org/licenses/alphabetical>) (each an "Open Source License"). These restrictions, limitations, exclusions and conditions shall apply even if the State or any of its subcontractors becomes aware of or fails to act in a manner to address any violation or failure to comply therewith. No act by the State or any of its subcontractors that is undertaken under this Contract as to any Software or technology shall be construed as intending to cause any patents, copyrights or other intellectual property that are owned or controlled by the State (or for which the State has received license rights) to become subject to any encumbrance or terms and conditions of any open source license.
- 7.7 The Contractor shall report to the Department, promptly and in written detail, each notice or claim of copyright infringement received by the Contractor with respect to all Deliverables delivered under this Contract.
- 7.8 The Contractor shall not affix (or permit any third party to affix), without the Department's consent, any restrictive markings upon any Deliverables that are owned by the State, and if such markings are affixed, the Department shall have the right at any time to modify, remove, obliterate, or ignore such warnings.

## **8. Confidential or Proprietary Information and Documentation**

- 8.1 Subject to the Maryland Public Information Act and any other applicable laws including, without limitation, HIPAA, the HI-TECH Act, and the Maryland Medical Records Act and regulations promulgated pursuant thereto, all confidential or proprietary information and documentation relating to either party (including without limitation, any information or data stored within the Contractor's computer systems or cloud infrastructure, if applicable) shall be held in confidence by the other party. Each party shall, however, be permitted to disclose, as provided by and consistent with applicable law, relevant confidential information to its officers, agents, and Contractor Personnel to the extent that such disclosure is necessary for the performance of their duties under this Contract. Each officer, agent, and Contractor Personnel to whom any of the State's confidential information is to be disclosed shall be advised by Contractor provided that each officer, agent, and Contractor Personnel to whom any of the State's confidential information is to be disclosed shall be advised by Contractor of the obligations hereunder, and bound by, confidentiality at least as restrictive as those of set forth in this Contract..
- 8.2 The provisions of this section shall not apply to information that: (a) is lawfully in the public domain; (b) has been independently developed by the other party without violation of this Contract; (c) was already rightfully in the possession of such party; (d) was supplied to such party by a third party lawfully in possession thereof and legally permitted to further disclose the information; or (e) which such party is required to disclose by law.

## **9. Loss of Data**

- 9.1 In the event of loss of any State data or records where such loss is due to the act or omission of the Contractor or any of its subcontractors or agents, the Contractor shall be responsible for restoring or recreating, as applicable, such lost data in the manner and on the schedule set by the Contract Monitor. The Contractor shall ensure that all data is backed up and recoverable by the Contractor. At no time shall any Contractor actions (or any failures to act when Contractor has a duty to act) damage or create any vulnerabilities in data bases, systems, platforms, and applications with which the Contractor is working hereunder.



- 9.2 In accordance with prevailing federal or state law or regulations, the Contractor shall report the loss of non-public data as directed in **RFP Section 3.7**.
- 9.3 Protection of data and personal privacy (as further described and defined in RFP Section 3.8) shall be an integral part of the business activities of the Contractor to ensure there is no inappropriate or unauthorized use of State information at any time. To this end, the Contractor shall safeguard the confidentiality, integrity and availability of State information and comply with the conditions identified in **RFP Section 3.7**.

## **10. Indemnification and Notification of Legal Requests**

- 10.1. At its sole cost and expense, Contractor shall (i) indemnify and hold the State, its employees and agents harmless from and against any and all claims, demands, actions, suits, damages, liabilities, losses, settlements, judgments, costs and expenses (including but not limited to attorneys' fees and costs), whether or not involving a third party claim, which arise out of or relate to the Contractor's, or any of its subcontractors', performance of this Contract and (ii) cooperate, assist, and consult with the State in the defense or investigation of any such claim, demand, action or suit. Contractor shall not enter into any settlement involving third party claims that contains any admission of or stipulation to any guilt, fault, liability or wrongdoing by the State or that adversely affects the State's rights or interests, without the State's prior written consent.
- 10.2. The State has no obligation: (i) to provide legal counsel or defense to the Contractor or its subcontractors in the event that a suit, claim or action of any character is brought against the Contractor or its subcontractors as a result of or relating to the Contractor's obligations or performance under this Contract, or (ii) to pay any judgment or settlement of any such suit, claim or action. Notwithstanding the foregoing, the Contractor shall promptly notify the Procurement Officer of any such claims, demands, actions, or suits.
- 10.3. Notification of Legal Requests. In the event the Contractor receives a subpoena or other validly issued administrative or judicial process, or any discovery request in connection with any litigation, requesting State Pre-Existing Intellectual Property, of other information considered to be the property of the State, including but not limited to State data stored with or otherwise accessible by the Contractor, the Contractor shall not respond to such subpoena, process or other legal request without first notifying the State, unless prohibited by law from providing such notice. The Contractor shall promptly notify the State of such receipt providing the State with a reasonable opportunity to intervene in the proceeding before the time that Contractor is required to comply with such subpoena, other process or discovery request. .

## **11. Non-Hiring of Employees**

No official or employee of the State, as defined under Md. Code Ann., General Provisions Article, § 5-101, whose duties as such official or employee include matters relating to or affecting the subject matter of this Contract, shall, during the pendency and term of this Contract and while serving as an official or employee of the State, become or be an employee of the Contractor or any entity that is a subcontractor on this Contract.

## **12. Disputes**

This Contract shall be subject to the provisions of Md. Code Ann., State Finance and Procurement Article, Title 15, Subtitle 2, and COMAR 21.10 (Administrative and Civil Remedies). Pending resolution of a claim, the Contractor shall proceed diligently with the performance of the Contract in accordance with the Procurement Officer's decision. Unless a lesser period is provided by applicable statute, regulation, or the Contract, the Contractor must file a written notice of claim with the Procurement Officer within thirty (30) days after the basis for the claim is known or should have been known, whichever is earlier. Contemporaneously with or within thirty (30) days of the filing of a notice of claim, but no later than the date of final payment under the Contract, the Contractor must submit to the Procurement Officer its written claim containing the information specified in COMAR 21.10.04.02.

## **13. Maryland Law Prevails**

- 13.1 This Contract shall be construed, interpreted, and enforced according to the laws of the State of Maryland.
- 13.2 The Maryland Uniform Computer Information Transactions Act (Commercial Law Article, Title 22 of the Annotated Code of Maryland) does not apply to this Contract or any purchase order, work order, or Notice to Proceed issued thereunder, or any software, or any software license acquired hereunder.
- 13.3 Any and all references to the Maryland Code, annotated and contained in this Contract shall be construed to refer to such Code sections as are from time to time amended.

**14. Nondiscrimination in Employment**

The Contractor agrees: (a) not to discriminate in any manner against an employee or applicant for employment because of race, color, religion, creed, age, sex, sexual orientation, gender identification, marital status, national origin, ancestry, genetic information, or any otherwise unlawful use of characteristics, or disability of a qualified individual with a disability unrelated in nature and extent so as to reasonably preclude the performance of the employment, or the individual's refusal to submit to a genetic test or make available the results of a genetic test; (b) to include a provision similar to that contained in subsection (a), above, in any underlying subcontract except a subcontract for standard commercial supplies or raw materials; and (c) to post and to cause subcontractors to post in conspicuous places available to employees and applicants for employment, notices setting forth the substance of this clause.

**15. Contingent Fee Prohibition**

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

**16. Non-Availability of Funding**

If the General Assembly fails to appropriate funds or if funds are not otherwise made available for continued performance for any fiscal period of this Contract succeeding the first fiscal period, this Contract shall be canceled automatically as of the beginning of the fiscal year for which funds were not appropriated or otherwise made available; provided, however, that this will not affect either the State's or the Contractor's rights under any termination clause in this Contract. The effect of termination of the Contract hereunder will be to discharge both the Contractor and the State from future performance of the Contract, but not from their rights and obligations existing at the time of termination. The Contractor shall be reimbursed for the reasonable value of any nonrecurring costs incurred but not amortized in the price of the Contract. The State shall notify the Contractor as soon as it has knowledge that funds may not be available for the continuation of this Contract for each succeeding fiscal period beyond the first.

**17. Termination for Default**

If the Contractor fails to fulfill its obligations under this Contract properly and on time, or otherwise violates any provision of the Contract, the State may terminate the Contract by written notice to the Contractor. The notice shall specify the acts or omissions relied upon as cause for termination. All finished or unfinished work provided by the Contractor shall, at the State's option, become the State's property. The State shall pay the Contractor fair and equitable compensation for satisfactory performance prior to receipt of notice of termination, less the amount of damages caused by the Contractor's breach. If the damages are more than the compensation payable to the Contractor, the Contractor will remain liable after termination and the State can affirmatively collect damages. Termination hereunder, including the termination of the rights and obligations of the parties, shall be governed by the provisions of COMAR 21.07.01.11B.

**18. Termination for Convenience**



The performance of work under this Contract may be terminated by the State in accordance with this clause in whole, or from time to time in part, whenever the State shall determine that such termination is in the best interest of the State. The State will pay all reasonable costs associated with this Contract that the Contractor has incurred up to the date of termination, and all reasonable costs associated with termination of the Contract. However, the Contractor shall not be reimbursed for any anticipatory profits that have not been earned up to the date of termination. Termination hereunder, including the determination of the rights and obligations of the parties, shall be governed by the provisions of COMAR 21.07.01.12A (2).

**19. Delays and Extensions of Time**

- 19.1 The Contractor agrees to prosecute the work continuously and diligently and no charges or claims for damages shall be made by it for any delays or hindrances from any cause whatsoever during the progress of any portion of the work specified in this Contract.
- 19.2 Time extensions will be granted only for excusable delays that arise from unforeseeable causes beyond the control and without the fault or negligence of the Contractor, including but not restricted to, acts of God, acts of the public enemy, acts of the State in either its sovereign or contractual capacity, acts of another Contractor in the performance of a contract with the State, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, or delays of subcontractors or suppliers arising from unforeseeable causes beyond the control and without the fault or negligence of either the Contractor or the subcontractors or suppliers.

**20. Suspension of Work**

The State unilaterally may order the Contractor in writing to suspend, delay, or interrupt all or any part of its performance for such period of time as the Procurement Officer may determine to be appropriate for the convenience of the State.

**21. Pre-Existing Regulations**

In accordance with the provisions of Section 11-206 of the State Finance and Procurement Article, Annotated Code of Maryland, the regulations set forth in Title 21 of the Code of Maryland Regulations (COMAR 21) in effect on the date of execution of this Contract are applicable to this Contract.

**22. Financial Disclosure**

The Contractor shall comply with the provisions of Section 13-221 of the State Finance and Procurement Article of the Annotated Code of Maryland, which requires that every business that enters into contracts, leases, or other agreements with the State or its agencies during a calendar year under which the business is to receive in the aggregate, \$100,000 or more, shall within 30 days of the time when the aggregate value of these contracts, leases or other agreements reaches \$100,000, file with the Secretary of State of Maryland certain specified information to include disclosure of beneficial ownership of the business.

**23. Political Contribution Disclosure**

The Contractor shall comply with Election Law Article, Title 14, Annotated Code of Maryland, which requires that every person that enters into a procurement contract with the State, a county, or a municipal corporation, or other political subdivision of the State, during a calendar year in which the person receives a contract with a governmental entity in the amount of \$200,000 or more, shall file with the State Board of Elections statements disclosing: (a) any contributions made during the reporting period to a candidate for elective office in any primary or general election; and (b) the name of each candidate to whom one or more contributions in a cumulative amount of \$500 or more were made during the reporting period. The statement shall be filed with the State Board of Elections: (a) before execution of a contract by the State, a county, a municipal corporation, or other political subdivision of the State, and shall cover the 24 months prior to when a contract was awarded; and (b) if the contribution is made after the execution of a contract, then twice a year, throughout the contract term, on or before: (i) May 31, to cover the six (6) month period

ending April 30; and (ii) November 30, to cover the six (6) month period ending October 31. Additional information is available on the State Board of Elections website: [http://www.elections.state.md.us/campaign\\_finance/index.html](http://www.elections.state.md.us/campaign_finance/index.html).

#### **24. Retention of Records**

The Contractor and subcontractors shall retain and maintain all records and documents in any way relating to this Contract for (i) three (3) years after final payment by the State hereunder, or (ii) any applicable federal or State retention requirements (such as HIPAA) or condition of award, , whichever is longer, and shall make them available for inspection and audit by authorized representatives of the State, as designated by the Procurement Officer, at all reasonable times. The Contractor shall provide copies of all documents requested by the State, including, but not limited to itemized billing documentation containing the dates, hours spent and work performed by the Contractor and its subcontractors under the Contract. All records related in any way to the Contract are to be retained for the entire time provided under this section.

#### **25. Right to Audit**

- 25.1 The State reserves the right, at its sole discretion and at any time, to perform an audit of the Contractor's performance under this Contract. An audit is defined as a planned and documented independent activity performed by qualified personnel, including but not limited to State and federal auditors, to determine by investigation, examination, or evaluation of objective evidence from data, statements, records, operations and performance practices (financial or otherwise) the Contractor's compliance with the Contract, including but not limited to adequacy and compliance with established procedures and internal controls over the services performed pursuant to the Contract.
- 25.2 Upon three (3) Business Days' notice, the State shall be provided reasonable access to Contractor's records to perform any such audits. The Department may conduct these audits with any or all of its own internal resources or by securing the services of a third party accounting or audit firm, solely at the Department's election. The Department may copy any record related to the services performed pursuant to the Contract. The Contractor agrees to fully cooperate and assist in any audit conducted by or on behalf of the State, including, by way of example only, making records and employees available as, where, and to the extent requested by the State and by assisting the auditors in reconciling any audit variances. Contractor shall not be compensated for providing any such cooperation and assistance.
- 25.3 The right to audit shall include any of the Contractor's subcontractors including but not limited to any lower tier subcontractor(s). The Contractor shall ensure the Department has the right to audit such subcontractor(s).

#### **26. Compliance with Laws**

The Contractor hereby represents and warrants that:

- a. It is qualified to do business in the State and that it will take such action as, from time to time hereafter, may be necessary to remain so qualified;
- b. It is not in arrears with respect to the payment of any monies due and owing the State, or any department or unit thereof, including but not limited to the payment of taxes and employee benefits, and that it shall not become so in arrears during the Term;
- c. It shall comply with all federal, State and local laws, regulations, and ordinances applicable to its activities and obligations under this Contract; and
- d. It shall obtain, at its expense, all licenses, permits, insurance, and governmental approvals, if any, necessary to the performance of its obligations under this Contract.

#### **27. Cost and Price Certification**

- 27.1 The Contractor, by submitting cost or price information certifies that, to the best of its knowledge, the information submitted is accurate, complete, and current as of the date of its Proposal.

- 27.2 The price under this Contract and any change order or modification hereunder, including profit or fee, shall be adjusted to exclude any significant price increases occurring because the Contractor furnished cost or price information which, as of the date of its Proposal, was inaccurate, incomplete, or not current.

**28. Subcontracting; Assignment**

The Contractor may not subcontract any of its obligations under this Contract without obtaining the prior written approval of the Procurement Officer, nor may the Contractor assign this Contract or any of its rights or obligations hereunder, without the prior written approval of the Procurement Officer, each at the State's sole and absolute discretion; provided, however, that a Contractor may assign monies receivable under a contract after written notice to the State. Any subcontracts shall include such language as may be required in various clauses contained within this Contract, exhibits, and attachments. The Contract shall not be assigned until all approvals, documents, and affidavits are completed and properly registered. The State shall not be responsible for fulfillment of the Contractor's obligations to its subcontractors.

**29. Limitations of Liability**

- 29.1 Contractor shall be liable for any loss or damage to the State occasioned by the acts or omissions of Contractor, its subcontractors, agents or employees as follows:
- (a) For infringement of patents, trademarks, trade secrets and copyrights as provided in **Section 5 "Patents, Copyrights, Intellectual Property"** of this Contract;
  - (b) Without limitation for damages for bodily injury (including death) and damage to real property and tangible personal property; and
  - (c) For all other claims, damages, loss, costs, expenses, suits or actions in any way related to this Contract and regardless of the basis on which the claim is made, Contractor's liability shall be unlimited.
  - (d) In no event shall the existence of a subcontract operate to release or reduce the liability of Contractor hereunder. For purposes of this Contract, Contractor agrees that all subcontractors shall be held to be agents of Contractor.
- 29.2 Contractor's indemnification obligations for Third party claims arising under Section 6 ("Indemnification") of this Contract are included in this limitation of liability only if the State is immune from liability. Contractor's indemnification liability for third party claims arising under Section 6 of this Contract shall be unlimited if the State is not immune from liability for claims arising under Section 6.
- 29.3. In no event shall the existence of a subcontract operate to release or reduce the liability of Contractor hereunder. For purposes of this Contract, Contractor agrees that it is responsible for performance of the services and compliance with the relevant obligations hereunder by its subcontractors.

**30. Commercial Nondiscrimination**

- 30.1 As a condition of entering into this Contract, Contractor represents and warrants that it will comply with the State's Commercial Nondiscrimination Policy, as described under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland. As part of such compliance, Contractor may not discriminate on the basis of race, color, religion, ancestry, national origin, sex, age, marital status, sexual orientation, sexual identity, genetic information or an individual's refusal to submit to a genetic test or make available the results of a genetic test or on the basis of disability, or otherwise unlawful forms of discrimination in the solicitation, selection, hiring, or commercial treatment of subcontractors, vendors, suppliers, or commercial customers, nor shall Contractor retaliate against any person for reporting instances of such discrimination. Contractor shall provide equal opportunity for subcontractors, vendors, and suppliers to participate in all of its public sector and private sector subcontracting and supply opportunities, provided that this clause does not prohibit or limit lawful efforts to remedy the effects of marketplace discrimination that have occurred or are occurring in the marketplace. Contractor understands that a

material violation of this clause shall be considered a material breach of this Contract and may result in termination of this Contract, disqualification of Contractor from participating in State contracts, or other sanctions. This clause is not enforceable by or for the benefit of, and creates no obligation to, any third party.

- 30.3 As a condition of entering into this Contract, upon the request of the Commission on Civil Rights, and only after the filing of a complaint against Contractor under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, as amended from time to time, Contractor agrees to provide within 60 days after the request a complete list of the names of all subcontractors, vendors, and suppliers that Contractor has used in the past four (4) years on any of its contracts that were undertaken within the State of Maryland, including the total dollar amount paid by Contractor on each subcontract or supply contract. Contractor further agrees to cooperate in any investigation conducted by the State pursuant to the State Commercial Nondiscrimination Policy as set forth under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, and to provide any documents relevant to any investigation that are requested by the State. Contractor understands that violation of this clause is a material breach of this Contract and may result in Contract termination, disqualification by the State from participating in State contracts, and other sanctions.
- 30.4 The Contractor shall include the language from 30.1, or similar clause approved in writing by the Department, in all subcontracts.

### **31. Prompt Pay Requirements**

- 31.1 If the Contractor withholds payment of an undisputed amount to its subcontractor, the Department, at its option and in its sole discretion, may take one or more of the following actions:
- (a) Not process further payments to the Contractor until payment to the subcontractor is verified;
  - (b) Suspend all or some of the Contract work without affecting the completion date(s) for the Contract work;
  - (c) Pay or cause payment of the undisputed amount to the subcontractor from monies otherwise due or that may become due to the Contractor;
  - (d) Place a payment for an undisputed amount in an interest-bearing escrow account; or
  - (e) Take other or further actions as appropriate to resolve the withheld payment.
- 31.2 An “undisputed amount” means an amount owed by the Contractor to a subcontractor for which there is no good faith dispute. Such “undisputed amounts” include, without limitation: (a) retainage which had been withheld and is, by the terms of the agreement between the Contractor and subcontractor, due to be distributed to the subcontractor; and (b) an amount withheld because of issues arising out of an agreement or occurrence unrelated to the agreement under which the amount is withheld.
- 31.3 An act, failure to act, or decision of a Procurement Officer or a representative of the Department concerning a withheld payment between the Contractor and a subcontractor under this **section 31**, may not:
- (a) Affect the rights of the contracting parties under any other provision of law;
  - (b) Be used as evidence on the merits of a dispute between the Department and the Contractor in any other proceeding; or
  - (c) Result in liability against or prejudice the rights of the Department.
- 31.4 The remedies enumerated above are in addition to those provided under COMAR 21.11.03.13 with respect to subcontractors that have contracted pursuant to the MBE program.
- 31.5 To ensure compliance with certified MBE subcontract participation goals, the Department may, consistent with COMAR 21.11.03.13, take the following measures:

- (a) Verify that the certified MBEs listed in the MBE participation schedule actually are performing work and receiving compensation as set forth in the MBE participation schedule. This verification may include, as appropriate:
  - i. Inspecting any relevant records of the Contractor;
  - ii. Inspecting the jobsite; and
  - iii. Interviewing subcontractors and workers.Verification shall include a review of:
  - i. The Contractor's monthly report listing unpaid invoices over thirty (30) days old from certified MBE subcontractors and the reason for nonpayment; and
  - ii. The monthly report of each certified MBE subcontractor, which lists payments received from the Contractor in the preceding thirty (30) days and invoices for which the subcontractor has not been paid.
- (b) If the Department determines that the Contractor is not in compliance with certified MBE participation goals, then the Department will notify the Contractor in writing of its findings, and will require the Contractor to take appropriate corrective action. Corrective action may include, but is not limited to, requiring the Contractor to compensate the MBE for work performed as set forth in the MBE participation schedule.
- (c) If the Department determines that the Contractor is in material noncompliance with MBE Contract provisions and refuses or fails to take the corrective action that the Department requires, then the Department may:
  - i. Terminate the Contract;
  - ii. Refer the matter to the Office of the Attorney General for appropriate action; or
  - iii. Initiate any other specific remedy identified by the Contract, including the contractual remedies required by any applicable laws, regulations, and directives regarding the payment of undisputed amounts.
- (d) Upon completion of the Contract, but before final payment or release of retainage or both, the Contractor shall submit a final report, in affidavit form under the penalty of perjury, of all payments made to, or withheld from, MBE subcontractors.

### **32. Living Wage**

If a Contractor subject to the Living Wage law fails to submit all records required under COMAR 21.11.10.05 to the Commissioner of Labor and Industry at the Department of Labor, Licensing and Regulation, the Department may withhold payment of any invoice or retainage. The Department may require certification from the Commissioner on a quarterly basis that such records were properly submitted.

### **33. Use of Estimated Quantities**

Unless specifically indicated otherwise in the State's solicitation or other controlling documents related to the Scope of Work, any sample amounts provided are estimates only and the Department does not guarantee a minimum or maximum number of units or usage in the performance of this Contract.

### **34. Risk of Loss; Transfer of Title**

Risk of loss for conforming supplies, equipment, materials and Deliverables furnished to the State hereunder shall remain with the Contractor until such supplies, equipment, materials and Deliverables are received and accepted by the State, following which, title shall pass to the State.

**35. Effect of Contractor Bankruptcy**

All rights and licenses granted by the Contractor under this Contract are and shall be deemed to be rights and licenses to “intellectual property,” and the subject matter of this Contract, including services, is and shall be deemed to be “embodiments of intellectual property” for purposes of and as such terms are used and interpreted under § 365(n) of the United States Bankruptcy Code (“Code”) (11 U.S.C. § 365(n) (2010)). The State has the right to exercise all rights and elections under the Code and all other applicable bankruptcy, insolvency and similar laws with respect to this Contract (including all executory statement of works). Without limiting the generality of the foregoing, if the Contractor or its estate becomes subject to any bankruptcy or similar proceeding: (a) subject to the State’s rights of election, all rights and licenses granted to the State under this Contract shall continue subject to the respective terms and conditions of this Contract; and (b) the State shall be entitled to a complete duplicate of (or complete access to, as appropriate) all such intellectual property and embodiments of intellectual property, and the same, if not already in the State’s possession, shall be promptly delivered to the State, unless the Contractor elects to and does in fact continue to perform all of its obligations under this Contract.

**36. Miscellaneous**

- 36.1 Any provision of this Contract which contemplates performance or observance subsequent to any termination or expiration of this Contract shall survive termination or expiration of this Contract and continue in full force and effect.
- 36.2 If any term contained in this Contract is held or finally determined to be invalid, illegal, or unenforceable in any respect, in whole or in part, such term shall be severed from this Contract, and the remaining terms contained herein shall continue in full force and effect, and shall in no way be affected, prejudiced, or disturbed thereby.
- 36.3 The headings of the sections contained in this Contract are for convenience only and shall not be deemed to control or affect the meaning or construction of any provision of this Contract.
- 36.4 This Contract may be executed in any number of counterparts, each of which shall be deemed an original, and all of which together shall constitute one and the same instrument. Signatures provided by facsimile or other electronic means, e.g., and not by way of limitation, in Adobe .PDF sent by electronic mail, shall be deemed to be original signatures.

**37. Contract Monitor and Procurement Officer**

- 37.1 The State representative for this Contract who is primarily responsible for Contract administration functions, including issuing written direction, invoice approval, monitoring this Contract to ensure compliance with the terms and conditions of the Contract, monitoring MBE and VSBE compliance, and achieving completion of the Contract on budget, on time, and within scope. The Contract Monitor may authorize in writing one or more State representatives to act on behalf of the Contract Monitor in the performance of the Contract Monitor’s responsibilities. The Department may change the Contract Monitor at any time by written notice to the Contractor.
- 37.2 The Procurement Officer has responsibilities as detailed in the Contract, and is the only State representative who can authorize changes to the Contract. The Department may change the Procurement Officer at any time by written notice to the Contractor.

**38. Notices**

All notices hereunder shall be in writing and either delivered personally or sent by certified or registered mail, postage prepaid, as follows:

If to the State:



Helen Stewart  
Department of Natural Resources (DNR)  
Tawes State Office Bldg, B-3  
580 Taylor Avenue  
Annapolis, MD 21401  
Phone Number: (410) 260-8667  
E-Mail: helen.stewart@maryland.gov

With a copy to:

Ms. Shiela Harrison  
Department of Natural Resources (DNR)  
Tawes State Office Bldg, B-4  
580 Taylor Avenue  
Annapolis, MD 21401  
Phone Number: (410) 260-8500  
E-Mail: Sheila.harrison@maryland.gov

### **39. Liquidated Damages for MBE**

- 39.1 The Contract requires the Contractor to comply in good faith with the MBE Program and Contract provisions. The State and the Contractor acknowledge and agree that the State will incur damages, including but not limited to loss of goodwill, detrimental impact on economic development, and diversion of internal staff resources, if the Contractor does not comply in good faith with the requirements of the MBE Program and MBE Contract provisions. The parties further acknowledge and agree that the damages the State might reasonably be anticipated to accrue as a result of such lack of compliance are difficult to ascertain with precision.
- 39.2 Therefore, upon issuance of a written determination by the State that the Contractor failed to comply in good faith with one or more of the specified MBE Program requirements or MBE Contract provisions, the Contractor shall pay liquidated damages to the State at the rates set forth below. The Contractor expressly agrees that the State may withhold payment on any invoices as a set-off against liquidated damages owed. The Contractor further agrees that for each specified violation, the agreed upon liquidated damages are reasonably proximate to the loss the State is anticipated to incur as a result of such violation.
- (a) Failure to submit each monthly payment report in full compliance with COMAR 21.11.03.13B (3): \$insert value per day until the monthly report is submitted as required.
  - (b) Failure to include in its agreements with MBE subcontractors a provision requiring submission of payment reports in full compliance with COMAR 21.11.03.13B (4): \$insert value per MBE subcontractor.
  - (c) Failure to comply with COMAR 21.11.03.12 in terminating, canceling, or changing the scope of work/value of a contract with an MBE subcontractor and amendment of the MBE participation schedule: the difference between the dollar value of the MBE participation commitment on the MBE participation schedule for that specific MBE firm and the dollar value of the work performed by that MBE firm for the Contract.

- (d) Failure to meet the Contractor's total MBE participation goal and sub goal commitments: the difference between the dollar value of the total MBE participation commitment on the MBE participation schedule and the MBE participation actually achieved.
- (e) Failure to promptly pay all undisputed amounts to an MBE subcontractor in full compliance with the prompt payment provisions of the Contract: \$insert appropriate rate following calculation instructions from GOSBA per day until the undisputed amount due to the MBE subcontractor is paid.

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

**42. Compliance with federal Health Insurance Portability and Accountability Act (HIPAA) and State Confidentiality Law**

HIPAA clauses do not apply to this Contract.

SIGNATURES ON NEXT PAGE



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

Contractor

State of Maryland  
Department of Natural Resources (DNR)

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

By: Agency Contract Signer,  
Agency Contract Signer Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

PARENT COMPANY (GUARANTOR) (if  
applicable)

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

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

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

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

APPROVED BY BPW: \_\_\_\_\_  
(Date) (BPW Item #)

<b>Attachment N.</b>	<b>Contract Affidavit</b>
----------------------	---------------------------

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-N-ContractAffidavit.pdf>.

**Attachment O. DHS Hiring Agreement**

This solicitation does not require a DHS Hiring Agreement.

## **Attachment P. Functional Area Scopes of Work**

### **ATTACHMENT P-1 FUNCTIONAL AREA A (FAA) ECONOMIC STUDIES INTEGRATOR (POWER PLANT PLANNING AND LICENSING) SCOPE OF WORK**

#### **FAA-1 Background**

The majority of the PPRP projects are performed by scientists and engineers retained to provide continuing consultation on matters related to power generation issues. Contractor responsibilities are structured according to topical area – Economic Studies Integrator (Power Plant Planning and Licensing) is the topical area of responsibility solicited through Functional Area A. Issues identified by PPRP and evaluated by PPRP Contractors provide information for various decision processes related to power plant siting and impact issues. The results form the basis for recommendations to pertinent regulatory bodies.

#### **FAA-2 Requirements**

##### **FAA-2.1 General Requirements**

The Contractor shall be responsible for conducting work under the Scope of Work (SOW) herein, as well as managing any subcontractors added to the contract, and/or other PPRP contractors under certain circumstances. Primarily, the Contractor shall provide the technical expertise needed to evaluate the impacts of power generation to the local economy, including issues such as (but not limited to):

- Estimating the economic and fiscal impacts of new power plants (employment, tax revenues);
- Assessing the suitability of the power plant siting with respect to local and state land use restrictions;
- Assessing the capacity of nearby roads to handle projected traffic during construction;
- Evaluating potential impacts to air traffic (including glare);
- Modeling visual impacts (including glare) to nearby properties, roads and highways;
- Identifying and protecting cultural and historic resources; and,
- Protecting public services and safety (cycling safety, fire safety).

The Contractor shall assist PPRP with identification of important policy issues, design of studies to address these issues, and evaluation of study conclusions. The Contractor shall also be responsible for preparing and presenting testimony for hearings and adjudicatory proceedings before the Public Service Commission and other regulatory bodies.

Work includes licensing and permitting of new electric power generating facilities in Maryland, as well as modifications to existing to existing power plants, including renewable energy facilities.

Contractor shall be responsible for meeting the objectives noted above in accordance with the following general requirements. The Contractor shall:

- A. Coordinate with other PPRP contractors, subcontractors, regulatory agencies, generation companies, utilities, and other interested parties during various projects. [Note that in some cases PPRP will be conducting studies jointly with utility companies or other state agencies, and in all cases cooperation with utilities or other state agencies, including exchange of data and study results, will be required. In addition, many projects conducted by PPRP, e.g., a detailed site evaluation, involves more than one contractor. In such cases, a lead contractor is identified. The contractor selected as lead is responsible not only for projects within its usual area of responsibility, but also coordinating the results of other contractors and Integrators in the development of overall conclusions. Contractors not serving as lead are responsible for coordinating with the lead contractor in providing results of pertinent projects.]
- B. Provide economic expertise in such areas as Maryland Public Service Commission (PSC), the Federal Energy Regulatory Commission (FERC) and the Nuclear Energy Commission (NRC) licensing and permitting procedures; in other words, all capabilities that are necessary to understand and assess the impacts of diverse modes of power generation, including renewable energy facilities. The Contractor shall also supply technical support on socioeconomic effects of atmospheric deposition, greenhouse gas control and mitigation, and evaluation of state and federal regulatory issues related to potential effects of power generation on socioeconomic resources. The Contractor shall assist PPRP in coordinating relevant program activities with those of state and federal agencies responsible for environmental resource protection and management.

Note that this applies to services (labor) only; extraordinary expenses such as purchases of equipment or expenses associated with large copying jobs will be handled via a work order process as described in Appendix Q.

## **FAA-2.2 Specific Requirements**

- A. The Contractor shall provide Economic Services on power related topics:
  - 1. Identifying emerging and important economic issues related to power plant development, for example, the socioeconomic impacts to the local community;
  - 2. Designing programs of study to address these issues;
  - 3. Implementing studies;
  - 4. Analyzing and interpret study findings; and
  - 5. Presenting conclusions with management and regulatory implications.
- B. The Contractor shall have the capability to implement both long-term studies and short-term analysis. In addition, the Contractor shall review and analyze specific issues as they arise, and provide the State with assistance in the definition, design, and coordination of studies designed to address these issues. The Contractor shall be responsible for technical oversight and quality control for these studies, with final authority for decisions regarding performance remaining with PPRP.
- C. The Contractor shall conduct the following activities to support PPRP's participation in regulatory proceedings (for example, Certificate of Public Convenience and Necessity

(CPCN) proceedings conducted by the Maryland Public Service Commission (PSC)):

1. Review of power plant PSC or related applications;
  2. Review of applicants' economic evaluations and studies;
  3. Conduct studies to supplement or verify the application material;
  4. Preparation and presentation of testimony for hearings and adjudicatory proceedings; and
  5. Review of, and response to, applicants' testimony.
- D. Because many projects will be conducted as part of a regulatory proceeding, the resolution of issues must be completed within the schedule set by the regulatory agency. This may require diverting effort from other ongoing studies not constrained by regulatory proceedings. Although it is expected that appropriate planning will reduce the number of occasions on which such redirection is necessary, the Contractor shall be sufficiently flexible to address issues and allocate staff to address emerging issues not fully defined and scoped at the outset of project or task
- E. Current and anticipated near-term activities include, but are not limited to, the following:

**General Power Plant CPCN Technical Support:** PPRP coordinates a comprehensive state agency-wide review of proposed projects and their related facilities for the PSC. The Contractor shall be responsible for providing PPRP with the socioeconomic expertise required to address issues such as land use planning, transportation, cultural and aesthetic resources impacts, public services and safety, property values, and policy and regulatory analysis. In this support area, the Contractor shall review utility submittals, perform any required field evaluations, prepare hearing-related submittals, participate in meetings with applicants and their consultants, participate in any PSC proceedings, and draft CPCN license conditions. Support covers generation from traditional sources such as fossil and nuclear fuels, and also includes renewable energy projects including wind power and solar facilities.

PPRP anticipates that support will continue to be required to address issues associated with new projects, such as various proposed solar and wind projects in many locations around the state. An offshore wind energy project of any size, including its transmission line connection to shore, will require a CPCN. For examples of recent cases, go to <http://www.psc.state.md.us> and enter the following CPCN case numbers: 9330 (Mattawoman Natural Gas Plant), 9393 (Piney Grove to Wattsville Transmission Line), 9411 (Mills Branch Solar), and/or 9413 (Dan's Mountain Wind Force). In addition, the Contractor shall support PPRP as needed to address CPCN compliance monitoring and evaluation for (1) new land-based projects throughout the state, (2) approved projects and (3) new offshore or Bay projects (including consideration of those proposed in Maryland, Delaware, New Jersey, or Virginia).

### **Maryland Wind Power Licensing.**

**Off-shore Wind Power -** Incentives for developing offshore wind resources have encouraged bids on leases for potential wind farm tracts offshore of Maryland's Atlantic coast. US Wind, Inc., is now beginning preliminary feasibility studies on two tracts that were leased in December 2014. Contractor shall provide PPRP with support for reviewing and analyzing materials from these studies and related permit applications, as requested. In

particular, Contractor shall provide expertise on construction impacts in the offshore marine environment, including underwater noise propagation, which is required for evaluating the siting of offshore wind turbines. The Contractor shall prepare data summaries, minutes, and field reports as requested by PPRP.

**On-shore Wind Power** - Contractor shall support PPRP in the CPCN review and licensing process for proposed onshore wind projects. In addition, upon PPRP request, the Contractor shall attend meetings sponsored by State and Federal agencies with oversight of wind power siting and planning. Contractor shall prepare data summaries, minutes, and field reports as requested by PPRP.

**Maryland Solar Power Licensing.** The Contractor shall support PPRP in the CPCN review and licensing process for the various solar projects that have been filed with the PSC and with any others planned to be filed during the contract period. Support required under this task includes reviewing applicant submittals, participating in site and stakeholder meetings, performing field evaluations and oversight of applicant data collection activities, identifying and synthesizing existing information on groundwater and hydrogeological resources, preparing technical support or review documents, reviewing and preparing hearing-related materials (e.g., discovery questions, testimony, cross-examination, and rebuttal), preparing socio-economic review sections of documents, and participating in PSC or other proceedings (including providing expert testimony). For examples of recent solar CPCN cases, go to <http://www.psc.state.md.us> and enter the following CPCN case numbers: 9411 (Mills Branch Solar), 9387 (Blue Star Solar) 9392 (Ibis Solar), 9385 (Pinesburg), and/or 9395 (Baker Point).

**Conventional Facility Licensing.** The Contractor shall support PPRP in the CPCN review and licensing process for all conventional power plant facilities, including existing combined-cycle, natural gas-fired generation facility cases, and address any new projects that are submitted to the PSC during this contract period. The Contractor shall review applicant submittals, participate in site and stakeholder meetings, review and compile literature relating to potential impacts, perform field evaluations and oversee data collection activities, identify and synthesize existing information on groundwater and hydrogeological resources, prepare technical support or review documents, review and prepare hearing-related materials (e.g., discovery questions, testimony, cross-examination, and rebuttal), prepare socioeconomic review sections of documents, acquire independent information and data, and participate in PSC or other proceedings. For examples of recent CPCN cases of conventional facilities, go to <http://www.psc.state.md.us> and enter the following CPCN case numbers: 9330 (Mattawoman Natural Gas) and 9297 (Key's Energy Center).

**State Hydroelectric Projects Including Conowingo Relicensing** - Exelon Power is continuing the Integrated Licensing Process with the Federal Energy Regulatory Commission (FERC) for re-licensing the Conowingo Hydroelectric Project. Contractor shall carry out activities necessary to support PPRP in its review of Conowingo Dam or other proposed hydroelectric in or affecting Maryland, which may include economic support to PPRP during interactions with Exelon Power, State and federal agencies, and other stakeholders. The Contractor shall also participate in meetings with Exelon as well as with other agencies and stakeholders, review technical documents and study reports, prepare response and comment memos, and participate in any other support requested by PPRP. All project activities will be initiated upon the request of PPRP.

**Nuclear Facility Relicensing** –PPRP leads Maryland’s review for licensing changes at two power plants in or affecting Maryland: Calvert Cliffs Nuclear Power Plant (Lusby, MD) and Peach Bottom Atomic Power Station (Delta, PA), which recently applied for a 20-year license extension. Contractor shall carry out activities necessary to support PPRP in its review of this request, as well as any qualifying operational changes to Calvert Cliffs Nuclear Power Plant, which may include economic support to PPRP during interactions with Exelon Power, State and federal agencies, and other stakeholders. The Contractor shall also participate in meetings with Exelon as well as with other agencies and stakeholders, review technical documents and study reports, prepare response and comment memos, and participate in any other support requested by PPRP. All project activities will be initiated upon the request of PPRP.

### **FAA-3 Staffing**

The Contractor shall provide their own Key Personnel or subcontracted Key Personnel to meet the following minimum requirements to implement and support the Contract. Described below are the personnel minimums required in the performance of the Contract. The State must approve each staff person utilized for each position before the staff is utilized during the course of the Contract period.

**Senior Manager** - Plans, conducts and supervises projects of major significance, necessitating advanced knowledge and ability to originate and apply new and unique methods and procedures. Supplies technical advice and counsel to other professionals. Generally operates with wide latitude for unreviewed action and has authority for making corporate decisions. May provide expert testimony in an adjudicatory proceeding. Doctorate (Ph.D.) degree in economics or an applicable technical field; and at least ten (10) years relevant industry experience in an applicable technical discipline as specified below.

**Project Manager** - Plans, conducts and supervises major assignments normally involving teams of staff. Estimates and schedules work to meet completion dates. Directs assistance, reviews progress and evaluates results; makes changes in methods, design or equipment where necessary. Operates with some latitude for unreviewed action or decision. May provide expert testimony in an adjudicatory proceeding. Master of Science (MS) degree, Master of Art (MA) degree in economics or equivalent in an applicable technical field; and at least eight (8) years relevant industry experience in an applicable technical discipline as specified below.

**Senior Scientist** - Serves as technical lead for major project elements and manages specific technical activities. Works under the direction of the Project Manager. May provide expert testimony in an adjuratory hearing. MA, MS or equivalent in the area of economics or an applicable technical field and at least five (5) years relevant industry experience in an applicable technical discipline as specified below.

**Scientist** - Under supervision of a Senior or Project Manager, carries out assignments associated with projects. Translates technical guidance received from supervisor into usable data applicable to the particular assignment; coordinates the activities of juniors or technicians. Work assignments are varied and require some originality and ingenuity. Bachelor of Science (BS) degree, Bachelor of Arts (BA) degree or equivalent in in the area



of economics or an applicable technical field and at least 3 years relevant industry experience.

Technician - Junior support staff working under the direct supervision of Project Manager; carries out assignments such as data collection, data entry, and field activity support, where supervisors review work carefully. BS or BA degree in the area of economics or equivalent in an applicable technical field; no experience required.

Administrative/Clerical – Persons within this classification are capable of providing clerical, stenographic, graphic and accounting services to assist in managing this contract.

Subject Matter Expert - Supplies expert technical advice and counsel to PPRP on a specific area on a case by case basis as identified and requested by State Contract Monitor. Subject Matter Expert is a subcontractor to the Contractor and works under the direction of the Senior Manager. May provide expert testimony in an adjudicatory hearing. Ph.D. degree in the area of economics or equivalent in an applicable technical field; and at least 10 years relevant industry experience in an applicable technical discipline as specified below. The use of, or later additions and changes to, the use of the labor classification 'Subject Matter Expert must be pre-approved in writing by the Contract Monitor and include a detailed description of work, labor rate and total not-to-exceed labor hours.

Definitions of experience and equivalency are as follows: (A) Any combination of additional years of experience in the proposed field of expertise plus full-time college level study in the particular field totaling four (4) years will be an acceptable substitute for a B.S. degree. (B) A B.S. degree plus any combination of additional years of experience and graduate level study in the proposed field of experience totaling two (2) years will be an acceptable substitute for a M.S. degree. (C) A B.S. degree plus any combination of additional years of experience and graduate level study in the proposed field of expertise totaling four (4) years or a M.S. degree plus two (2) years of either additional experience or graduate level study in the proposed field of expertise will be an acceptable substitute for a Ph.D. degree. (D) Additional years of graduate level study in an appropriate field will be considered equal to years of experience on a one-for-one basis.

## **FAA-4 Reports**

The Contractor shall provide management/status reports for their applicable activities to the Contract Monitor. Contractor shall provide reports in Microsoft Word or Microsoft Excel unless another software format is specified by the Contract Monitor. Contractor shall provide reports in the following manner:

- A. Contractor shall provide a monthly status and project activity report to the Contract Monitor as an attachment to the monthly invoices and shall include the following information:
- Project Numbers;
  - Project Notice to Proceed (Startup Authorization) Date;
  - Target Completion Date;
  - Project Not To Exceed (NTE) Value (Original Budget and/or Revised Budget);

- Payments Received to Date;
- Status of Project, including percentage complete and projected hours and dollars;
- Special notice when a Project's NTE amount is projected to reach approximately 75% completion within 60 days of the reporting month;
- MBE monthly reports as specified in Attachment D; and
- Any other relevant information the Contractor or the Contract Monitor believes must be included due to the nature of a given Project's scope of work.

- B. Project Highlights and Summary shall be provided to the Contract Monitor upon request.
- C. All reporting to the State that requires a first draft with formal State review and comment will be identified by the State Contract Monitor. The Contractor shall ensure compliance to the State Contract Monitor's direction.

**ATTACHMENT P-2 FUNCTIONAL AREA B (FAB)**  
**ECONOMIC STUDIES INTEGRATOR**  
**(TRANSMISSION LINE PLANNING**  
**AND LICENSING)**  
**SCOPE OF WORK**

**FAB-1 Background**

The majority of the PPRP projects are performed by scientists and engineers retained to provide continuing consultation on matters related to power generation issues. Contractor responsibilities are structured according to topical area – Economic Studies Integrator (Transmission Line Planning and Licensing) is the topical area of responsibility solicited through Functional Area B. Issues identified by PPRP and evaluated by PPRP Contractors provide information for various decision processes related to power plant and transmission line siting and impact issues. The results form the basis for recommendations to pertinent regulatory bodies.

**FAB-2 Requirements**

**FAB-2.1 General Requirements**

The Contractor shall be responsible conducting work under the Scope of Work (SOW) herein, as well as managing any subcontractors added to the contract, and/or other PPRP contractors under certain circumstances. Primarily, the Contractor shall provide the technical expertise needed to evaluate the impacts of new and replacement transmission lines to the local economy, including issues such as (but not limited to):

- Estimating the economic and fiscal impacts of new and replacement transmission systems (employment, tax revenues);
- Assessing the suitability of the transmission line siting with respect to local and state land use restrictions;
- Assessing the capacity of nearby roads to handle projected traffic during construction;
- Evaluating potential impacts to air traffic;
- Identifying and protecting cultural and historic resources; and,
- Protecting public services and safety (cycling safety, fire safety).

The Contractor shall assist PPRP with identification of important policy issues, design of studies to address these issues, and evaluation of study conclusions. The Contractor shall also be responsible for preparing and presenting testimony for hearings and adjudicatory proceedings before the Public Service Commission and other regulatory bodies.

The Contractor shall also assist PPRP with monitoring PJM Interconnection (PJM)'s activities related to transition capabilities and transmission system planning to ensure grid reliability and relieve transmission congestion on portions of the PJM grid affecting Maryland. As requested by PPRP, this requirement may require attendance at PJM meetings and preparation of memoranda and comments.

Contractor shall be responsible for meeting the objectives noted above in accordance with the following general requirements. The Contractor shall:

- A. Coordinate with other PPRP contractors, subcontractors, regulatory agencies, generation companies, utilities, and other interested parties during various projects. [Note that in some cases PPRP will be conducting studies jointly with utility companies or other state agencies, and in all cases cooperation with utilities or other state agencies, including exchange of data and study results, will be required. In addition, many projects conducted by PPRP, e.g., a detailed site evaluation, involves more than one contractor. In such cases, a lead contractor is identified. The contractor selected as lead is responsible not only for projects within its usual area of responsibility, but also coordinating the results of other contractors and Integrators in the development of overall conclusions. Contractors not serving as lead are responsible for coordinating with the lead contractor in providing results of pertinent projects.]
- B. Provide economic expertise in such areas as Maryland Public Service Commission (PSC), the Federal Energy Regulatory Commission (FERC) and the Nuclear Regulatory Commission (NRC) licensing and permitting procedures; in other words, all capabilities that are necessary to understand and assess the impacts of diverse modes of power transmission. The Contractor shall also supply technical support for evaluation of state and federal regulatory issues related to potential power generation. The Contractor shall assist PPRP in coordinating relevant program activities with those of state and federal agencies responsible for environmental resource protection and management.

Note that this applies to services (labor) only; extraordinary expenses such as purchases of equipment or expenses associated with large copying jobs will be handled via a work order process as described in Appendix Q.

## **FAB-2.2 Specific Requirements**

- A. The Contractor shall provide Economic Services on power related topics:
  - 1. Identifying emerging and important economic issues related to power transmission, for example, the socioeconomic impacts to the local community;
  - 2. Designing programs of study to address these issues;
  - 3. Implementing studies;
  - 4. Analyzing and interpret study findings; and
  - 5. Presenting conclusions with management and regulatory implications.
- B. The Contractor shall have the capability to implement both long-term studies as they arise, and provide the State with assistance in the definition, design, and coordination of studies designed to address these issues. The Contractor shall be responsible for technical oversight and quality control for these studies, with final authority for decisions regarding performance remaining with PPRP.
- C. The Contractor shall conduct the following activities to support PPRP's participation in regulatory proceedings (for example, Certificate of Public Convenience and Necessity (CPCN) proceedings conducted by the Maryland Public Service Commission (PSC)):

- 1. Review of power transmission PSC or related applications;

2. Review of applicants' economic evaluations and studies;
3. Conduct studies to supplement or verify the application material;
4. Preparation and presentation of testimony for hearings and adjudicatory proceedings; and
5. Review of, and response to, applicants' testimony.

- D. Because many projects will be conducted as part of a regulatory proceeding, the resolution of issues must be completed within the schedule set by the regulatory agency. This may require diverting effort from other ongoing studies not constrained by regulatory proceedings. Although it is expected that appropriate planning will reduce the number of occasions on which such redirection is necessary, the Contractor shall be sufficiently flexible to address issues and allocate staff to address emerging issues not fully defined and scoped at the outset of project or task.
- E. Current and anticipated near-term activities include, but are not limited to, the following:

**Contingency Transmission Line Licensing.** The Contractor shall provide a full range of licensing support to PPRP as facilities enter the PSC licensing or other licensing processes. During this Contract period, PPRP anticipates that there will be 4-8 transmission projects that have been or will be proposed to strengthen network reliability throughout the state. Long-term PJM Interconnection studies continue to indicate a need to re-conductor lines throughout the state to accommodate renewable portfolio standards.

The Contractor shall review applicant submittals, participate in site and stakeholder meetings, review and compile literature relating to potential impacts, perform field evaluations and oversight of applicant data collection activities, identify and synthesize existing information on socioeconomic resources, prepare technical support or review documents, review and prepare hearing-related materials (e.g., discovery questions, testimony, cross-examination, and rebuttal), prepare socioeconomic review sections of documents, acquire independent information and data, and participate in PSC or other proceedings. For an example of a recent TL case, go to <http://www.psc.state.md.us> and enter the following CPCN case number: 9367 (Church to Steele), 9290 (Church to Townsend) and/or 9393 (Piney Grove to Wattsville). All project activities will be initiated upon the request of PPRP.

**General Transmission Line (TL) Technical Support** - PPRP coordinates a consolidated review of CPCN permit applications for new or modified transmission lines. The Contractor shall support this review process by providing technical expertise and reviews of the economic impacts of transmission line construction and proposed transmission line rights-of-way (ROWs). In addition, upon PPRP request, the Contractor shall conduct forward-looking research projects which seek to develop new evaluation approaches, supporting data, and tools that can assist the evaluation process. As time permits, the Contractor shall also conduct activities to refine and expand the previously developed database of issues, questions, and answers that have been addressed by PPRP in licensing cases. This database facilitates compiling socioeconomic testimony in future cases.

### **FAB-3 Staffing**

The Contractor shall provide their own Key Personnel or subcontracted Key Personnel to meet the following minimum requirements to implement and support the Contract. Described below are the personnel minimums required in the performance of the Contract. The State must

approve each staff person utilized for each position before the staff is utilized during the course of the Contract period.

Senior Manager - Plans, conducts and supervises projects of major significance, necessitating advanced knowledge and ability to originate and apply new and unique methods and procedures. Supplies technical advice and counsel to other professionals. Generally operates with wide latitude for unreviewed action and has authority for making corporate decisions. May provide expert testimony in an adjudicatory proceeding. Doctorate (Ph.D.) degree in economics or an applicable technical field; and at least ten (10) years relevant industry experience in an applicable technical discipline as specified below.

Project Manager - Plans, conducts and supervises major assignments normally involving teams of staff. Estimates and schedules work to meet completion dates. Directs assistance, reviews progress and evaluates results; makes changes in methods, design or equipment where necessary. Operates with some latitude for unreviewed action or decision. May provide expert testimony in an adjudicatory proceeding. Master of Science (MS) degree, Master of Art (MA) degree in economics or equivalent in an applicable technical field; and at least eight (8) years relevant industry experience in an applicable technical discipline as specified below.

Senior Scientist - Serves as technical lead for major project elements and manages specific technical activities. Works under the direction of the Project Manager. May provide expert testimony in an adjudicatory hearing. MA, MS or equivalent in the area of economics or an applicable technical field and at least five (5) years relevant industry experience in an applicable technical discipline as specified below.

Scientist - Under supervision of a Senior or Project Manager, carries out assignments associated with projects. Translates technical guidance received from supervisor into usable data applicable to the particular assignment; coordinates the activities of juniors or technicians. Work assignments are varied and require some originality and ingenuity. Bachelor of Science (BS) degree, Bachelor of Arts (BA) degree or equivalent in the area of economics or an applicable technical field and at least 3 years relevant industry experience.

Technician - Junior support staff working under the direct supervision of Project Manager; carries out assignments such as data collection, data entry, and field activity support, where supervisors review work carefully. BS or BA degree in the area of economics or equivalent in an applicable technical field; no experience required.

Administrative/Clerical – Persons within this classification are capable of providing clerical, stenographic, graphic and accounting services to assist in managing this contract.

Subject Matter Expert - Supplies expert technical advice and counsel to PPRP on a specific area on a case by case basis as identified and requested by State Contract Monitor. Subject Matter Expert is a subcontractor to the Contractor and works under the direction of the Senior Manager. May provide expert testimony in an adjudicatory hearing. Ph.D. degree in the area of economics or equivalent in an applicable technical field; and at least 10 years relevant industry experience in an applicable technical discipline as specified below. The use of, or later additions and changes to, the use of the labor classification 'Subject Matter Expert must be pre-approved in writing by the Contract Monitor and include a detailed description of work, labor rate and total not-to-exceed labor hours.

Definitions of experience and equivalency are as follows: (A) Any combination of additional years of experience in the proposed field of expertise plus full-time college level study in the particular field totaling four (4) years will be an acceptable substitute for a B.S. degree. (B) A degree plus any combination of additional years of experience and graduate level study in the proposed field of experience totaling two (2) years will be an acceptable substitute for a M.S. degree. (C) A B.S. degree plus any combination of additional years of experience and graduate level study in the proposed field of expertise totaling four (4) years or a M.S. degree plus two (2) years of either additional experience or graduate level study in the proposed field of expertise will be an acceptable substitute for a Ph.D. degree. (D) Additional years of graduate level study in an appropriate field will be considered equal to years of experience on a one-for-one basis.

#### **FAB-4 Reports**

The Contractor shall provide management/status reports for their applicable activities to the Contract Monitor. Contractor shall provide reports in Microsoft Word or Microsoft Excel unless another software format is specified by the Contract Monitor. Contractor shall provide reports in the following manner:

- A. Contractor shall provide a monthly status and project activity report to the Contract Monitor as an attachment to the monthly invoices and shall include the following information:
  - Project Numbers;
  - Project Notice to Proceed (Startup Authorization) Date;
  - Target Completion Date;
  - Project Not To Exceed (NTE) Value (Original Budget and/or Revised Budget);
  - Payments Received to Date;
  - Status of Project, including percentage complete and projected hours and dollars;
  - Special notice when a Project's NTE amount is projected to reach approximately 75% completion within 60 days of the reporting month;
  - MBE monthly reports as specified in Attachment D; and
  - Any other relevant information the Contractor or the Contract Monitor believes must be included due to the nature of a given Project's scope of work.
- B. Project Highlights and Summary shall be provided to the Contract Monitor upon request.
- C. All reporting to the State that requires a first draft with formal State review and comment will be identified by the State Contract Monitor. The Contractor shall ensure compliance to the State Contract Monitor's direction.



**ATTACHMENT P-3 FUNCTIONAL AREA C (FAC)**  
**ECONOMIC STUDIES INTEGRATOR**  
**(PROGRAM SUPPORT AND**  
**REPORTS)**  
**SCOPE OF WORK**

**FAC-1 Background**

The majority of the PPRP projects are performed by scientists and engineers retained to provide continuing consultation on matters related to power generation and transmission issues. Contractor responsibilities are structured according to topical area – Economic Studies Integrator (Program Support and Reports) is the topical area of responsibility solicited through Functional Area C. Issues identified by PPRP and evaluated by PPRP Contractors provide information for various decision processes related to power plant and transmission line siting and impact issues. The results form the basis for recommendations to pertinent regulatory bodies.

**FAC-2 Requirements**

**FAC-2.1 General Requirements**

The Contractor shall be responsible conducting work under the Scope of Work (SOW) herein, as well as managing any subcontractors added to the contract, and/or other PPRP contractors under certain circumstances. Primarily, the Contractor shall assist PPRP with identification of important policy issues, design of studies to address these issues, and evaluation and reports of study conclusions. The Contractor shall also be responsible for preparing and presenting testimony for hearings and adjudicatory proceedings before the Public Service Commission and other regulatory bodies.

Contractor shall be responsible for meeting the objectives noted above in accordance with the following general requirements. The Contractor shall:

- A. Coordinate with other PPRP contractors, subcontractors, regulatory agencies, generation companies, utilities, and other interested parties during various projects. [Note that in some cases PPRP will be conducting studies jointly with utility companies or other state agencies, and in all cases cooperation with utilities or other state agencies, including exchange of data and study results, will be required. In addition, many projects conducted by PPRP, e.g., a detailed site evaluation, involves more than one contractor. In such cases, a lead contractor is identified. The contractor selected as lead is responsible not only for projects within its usual area of responsibility, but also coordinating the results of other contractors and Integrators in the development of overall conclusions. Contractors not serving as lead are responsible for coordinating with the lead contractor in providing results of pertinent projects.]
- B. Provide economic expertise in such areas as the Maryland Public Service Commission (PSC), the Federal Energy Regulatory Commission (FERC) and the Nuclear Energy Commission (NRC) licensing and permitting procedures; in other words, all capabilities that are necessary to understand and assess the impacts of diverse modes of power transmission. The Contractor shall also supply technical support for evaluation of state and



federal regulatory issues related to potential power generation. The Contractor shall assist PPRP in coordinating relevant program activities with those of state and federal agencies responsible for environmental resource protection and management.

Note that this applies to services (labor) only; extraordinary expenses such purchases of equipment or expenses associated with large copying jobs will be handled via a work order process as described in Attachment Q.

## **FAC-2.2 Specific Requirements**

- A. The Contractor shall provide Economic Services on power related topics:
1. Identifying emerging and important economic issues related to power generation and transmission;
  2. Designing programs of study to address these issues;
  3. Implementing studies;
  4. Analyzing and interpret study findings; and
  5. Presenting conclusions with management and regulatory implications.
- B. The Contractor shall have the capability to implement both long-term studies as they arise, and provide the State with assistance in the definition, design, and coordination of studies designed to address these issues. The Contractor shall be responsible for technical oversight and quality control for these studies, with final authority for decisions regarding performance remaining with PPRP.
- C. The Contractor shall be sufficiently flexible to address issues and allocate staff to address emerging issues not fully defined and scoped at the outset of project or task.
- D. Current and anticipated near-term activities include, but are not limited to, the following:

### **Electric Utility Industry Restructuring, Renewables and Demand-side Management** –

The Contract shall provide technical economic expertise for work related to industry restructuring, renewable energy issues that may emerge, and issues related to demand-side management. The specific nature of the project(s) are not known at this time. Examples of previous projects: estimation of the economic benefits of EmPOWER Maryland, analysis of Maryland Renewable Portfolio Standard (RPS) issues, and economic modeling issues related to offshore wind development. The work may include collaborative projects with the Maryland Energy Administration.

**Environmental and Economic Studies** – The Contractor shall support PPRP in the following categories: legislative support and analysis, Public Service Commission rulemaking, responses to outside organizations, and monitoring PSC’s administration of the surcharge (Environmental Trust Fund).

**Collaborative Tasks and Reports** – The Contractor shall support PPRP’s efforts to analyze and report on issues that arise as part of the legislative sessions, including analyzing proposed legislation and preparing testimony as required. An example is the Energy Storage Report, which can be found at this link: <http://dnr.maryland.gov/pprp/Documents/Energy-Storage-In-Maryland.pdf>.

**PPRP News Tracker** – The Contractor shall monitor links to energy-related news items and submit these links to PPRP and others on a weekly basis.

**Cumulative Impact Assessments** - PPRP is directed by the Maryland Power Plant Siting Act (Section 3-304 of the Natural Resources Article of the Annotated Code of Maryland) to prepare a biennial Cumulative Environmental Impact Report (CEIR). The intent of the CEIR is to assemble and summarize information regarding the impacts of electric power generation and transmission on Maryland's natural resources, cultural foundation, and economic situation. A listing of key PPRP projects and reports, as well as a complete Program bibliography, is available at [www.pprp.info](http://www.pprp.info). The Contractor shall support PPRP by conducting cumulative effects analyses of impacts for economics and socioeconomics. See report at this link: <http://www.pprp.info/ceir18/HTML/Report-18-Chapter-1.html>

**Electricity Fact Book** – The Contractor shall support PPRP's efforts to update the economic and socioeconomic sections of the Electricity Fact Book. PPRP prepares Fact Books as a service to electricity users in Maryland. It is intended to provide current information on power generation in the State, for the use of State agencies, industrial and residential electricity consumers, and the interested public. See most recent Fact Book at this link: <http://dnr.maryland.gov/pprp/Pages/Electricity-in-Maryland.aspx>

### FAC-3 Staffing

The Contractor shall provide their own Key Personnel or subcontracted Key Personnel to meet the following minimum requirements to implement and support the Contract. Described below are the personnel minimums required in the performance of the Contract. The State must approve each staff person utilized for each position before the staff is utilized during the course of the Contract period.

**Senior Manager** - Plans, conducts and supervises projects of major significance, necessitating advanced knowledge and ability to originate and apply new and unique methods and procedures. Supplies technical advice and counsel to other professionals. Generally operates with wide latitude for unreviewed action and has authority for making corporate decisions. May provide expert testimony in an adjudicatory proceeding. Doctorate (Ph.D.) degree in economics or an applicable technical field; and at least ten (10) years relevant industry experience in an applicable technical discipline as specified below.

**Project Manager** - Plans, conducts and supervises major assignments normally involving teams of staff. Estimates and schedules work to meet completion dates. Directs assistance, reviews progress and evaluates results; makes changes in methods, design or equipment where necessary. Operates with some latitude for unreviewed action or decision. May provide expert testimony in an adjudicatory proceeding. Master of Science (MS) degree, Master of Art (MA) degree in economics or equivalent in an applicable technical field; and at least eight (8) years relevant industry experience in an applicable technical discipline as specified below.

**Senior Scientist** - Serves as technical lead for major project elements and manages specific technical activities. Works under the direction of the Project Manager. May provide expert testimony in an adjudicatory hearing. MA, MS or equivalent in the area of economics or an

applicable technical field and at least five (5) years relevant industry experience in an applicable technical discipline as specified below.

Scientist - Under supervision of a Senior or Project Manager, carries out assignments associated with projects. Translates technical guidance received from supervisor into usable data applicable to the particular assignment; coordinates the activities of juniors or technicians. Work assignments are varied and require some originality and ingenuity. Bachelor of Science (BS) degree, Bachelor of Arts (BA) degree or equivalent in the area of economics or an applicable technical field and at least 3 years relevant industry experience.

Technician - Junior support staff working under the direct supervision of Project Manager; carries out assignments such as data collection, data entry, and field activity support, where supervisors review work carefully. BS or BA degree in the area of economics or equivalent in an applicable technical field; no experience required.

Administrative/Clerical – Persons within this classification are capable of providing clerical, stenographic, graphic and accounting services to assist in managing this contract.

Subject Matter Expert - Supplies expert technical advice and counsel to PPRP on a specific area on a case by case basis as identified and requested by State Contract Monitor. Subject Matter Expert is a subcontractor to the Contractor and works under the direction of the Senior Manager. May provide expert testimony in an adjudicatory hearing. Ph.D. degree in the area of economics or equivalent in an applicable technical field; and at least 10 years relevant industry experience in an applicable technical discipline as specified below. The use of, or later additions and changes to, the use of the labor classification 'Subject Matter Expert must be pre-approved in writing by the Contract Monitor and include a detailed description of work, labor rate and total not-to-exceed labor hours.

Definitions of experience and equivalency are as follows: (A) Any combination of additional years of experience in the proposed field of expertise plus full-time college level study in the particular field totaling four (4) years will be an acceptable substitute for a B.S. degree. (B) A degree plus any combination of additional years of experience and graduate level study in the proposed field of experience totaling two (2) years will be an acceptable substitute for a M.S. degree. (C) A B.S. degree plus any combination of additional years of experience and graduate level study in the proposed field of expertise totaling four (4) years or a M.S. degree plus two (2) years of either additional experience or graduate level study in the proposed field of expertise will be an acceptable substitute for a Ph.D. degree. (D) Additional years of graduate level study in an appropriate field will be considered equal to years of experience on a one-for-one basis.

## **FAC-4 Reports**

The Contractor shall provide management/status reports for their applicable activities to the Contract Monitor. Contractor shall provide reports in Microsoft Word or Microsoft Excel unless another software format is specified by the Contract Monitor. Contractor shall provide reports in the following manner:

- A. Contractor shall provide a monthly status and project activity report to the Contract Monitor as an attachment to the monthly invoices and shall include the following information:
  - Project Numbers;

- Project Notice to Proceed (Startup Authorization) Date;
- Target Completion Date;
- Project Not To Exceed (NTE) Value (Original Budget and/or Revised Budget);
- Payments Received to Date;
- Status of Project, including percentage complete and projected hours and dollars;
- Special notice when a Project's NTE amount is projected to reach approximately 75% completion within 60 days of the reporting month;
- MBE monthly reports as specified in Attachment D; and
- Any other relevant information the Contractor or the Contract Monitor believes must be included due to the nature of a given Project's scope of work.

- B. Project Highlights and Summary shall be provided to the Contract Monitor upon request.
- C. All reporting to the State that requires a first draft with formal State review and comment will be identified by the State Contract Monitor. The Contractor shall ensure compliance to the State Contract Monitor's direction.

**ATTACHMENT P-4 FUNCTIONAL AREA D (FAD)**  
**ECONOMIC STUDIES INTEGRATOR**  
**(LONG-TERM ELECTRICITY REPORT**  
**FOR MARYLAND)**  
**SCOPE OF WORK**

**FAD-1 Background**

The majority of the PPRP projects are performed by scientists and engineers retained to provide continuing consultation on matters related to power generation and transmission issues. Contractor responsibilities are structured according to topical area – Economic Studies Integrator (Long-term Electricity Report for Maryland Update) is the topical area of responsibility solicited through Functional Area D. Issues identified by PPRP and evaluated by PPRP Contractors provide information for various decision processes related to power plant and transmission line siting and impact issues. The results form the basis for recommendations to pertinent regulatory bodies.

In 2010, then-Governor Martin O'Malley signed Executive Order No. 01.01.2010.16 (EO), which required that the Maryland Department of Natural Resources, Power Plant Research Program (PPRP) prepare a Long-term Electricity Report (LTER) for Maryland that addressed numerous issues directly or indirectly affecting the electric power industry in Maryland and PJM Interconnection and impacts on Maryland's residents and businesses. Those impacts include future electricity prices (energy, capacity, congestion, and renewable energy credits), power plant construction, reliability, environmental factors (emissions, land use), and others with the goal of addressing reliability, sustainability, and affordability of the State's power supply. The analysis and subsequent report is a recurring requirement, to be conducted not less frequently than every five years. The first LTER was published in December 2011 (followed by two limited updates); the second was published in December 2016. The third LTER is due to be published in December 2021, which would require work to commence in preparing the document in early 2020.

**FAD-2 Requirements**

**FAD-2.1 General Requirements**

Under the direction of the Power Plant Research Program, the Contractor shall conduct a comprehensive update of the Long-term Electricity Report for Maryland. The 2016 Long-Term Electricity Report for Maryland can be found here: (<http://dnr.maryland.gov/pprp/Documents/LTER-December-2016.pdf>).

The Offeror must thoroughly describe how each requirement will be fulfilled (including modeling to be done by the Contractor or its subcontractor(s)), reliance on work which has or will be completed by others, and potential stakeholder interfaces (such as the Power Plant Research Advisory Committee (PPRAC), Maryland State Agencies, and the general public). In order to formulate a complete description as possible, but minimize redundancy, the Offeror may cross reference descriptive material. The Offeror should assume that only routine travel will be required for this study. Lastly, an integrated schedule,

showing each major requirement completion date and other major milestones shall be submitted as part of the Offeror's technical proposal.

The Contractor shall support PPRP in the Program's extensive consultation with representatives of various segments of the clean energy industry and other stakeholders. This may take the form of one-on-one meetings, webinars, working group meetings, and other stakeholder out-reach efforts.

The Contractor shall assume that the study's progress and draft deliverables will be reviewed by PPRAC and should account for PPRAC's review and feedback throughout the development of the final report in its scheduling and completion of major milestones. (For more information on PPRAC, visit the DNR-PPRP website at [www.pprp.info](http://www.pprp.info).)

The Contractor shall build in sufficient resources into its proposal to accommodate questions and/or presentations to the Governor's Office and General Assembly from the issuance of the final report until the last day of the 2020 General Session.

Note that this applies to services (labor) only; extraordinary expenses such as purchases of equipment or expenses associated with large copying jobs will be handled via a work order process as described in Appendix Q.

### **FAD-3 Staffing**

The Contractor shall provide their own Key Personnel or subcontracted Key Personnel to meet the following minimum requirements to implement and support the Contract. Described below are the personnel minimums required in the performance of the Contract. The State must approve each staff person utilized for each position before the staff is utilized during the course of the Contract period.

Senior Manager - Plans, conducts and supervises projects of major significance, necessitating advanced knowledge and ability to originate and apply new and unique methods and procedures. Supplies technical advice and counsel to other professionals. Generally operates with wide latitude for unreviewed action and has authority for making corporate decisions. May provide expert testimony in an adjudicatory proceeding. Doctorate (Ph.D.) degree in economics or an applicable technical field; and at least ten (10) years relevant industry experience in an applicable technical discipline as specified below.

Project Manager - Plans, conducts and supervises major assignments normally involving teams of staff. Estimates and schedules work to meet completion dates. Directs assistance, reviews progress and evaluates results; makes changes in methods, design or equipment where necessary. Operates with some latitude for unreviewed action or decision. May provide expert testimony in an adjudicatory proceeding. Master of Science (MS) degree, Master of Art (MA) degree in economics or equivalent in an applicable technical field; and at least eight (8) years relevant industry experience in an applicable technical discipline as specified below.

Senior Scientist - Serves as technical lead for major project elements and manages specific technical activities. Works under the direction of the Project Manager. May provide expert testimony in an adjudicatory hearing. MA, MS or equivalent in the area of economics or an applicable technical field and at least five (5) years relevant industry experience in an applicable technical discipline as specified below.

**Scientist** - Under supervision of a Senior or Project Manager, carries out assignments associated with projects. Translates technical guidance received from supervisor into usable data applicable to the particular assignment; coordinates the activities of juniors or technicians. Work assignments are varied and require some originality and ingenuity. Bachelor of Science (BS) degree, Bachelor of Arts (BA) degree or equivalent in the area of economics or an applicable technical field and at least 3 years relevant industry experience.

**Technician** - Junior support staff working under the direct supervision of Project Manager; carries out assignments such as data collection, data entry, and field activity support, where supervisors review work carefully. BS or BA degree in the area of economics or equivalent in an applicable technical field; no experience required.

**Administrative/Clerical** – Persons within this classification are capable of providing clerical, stenographic, graphic and accounting services to assist in managing this contract.

**Subject Matter Expert** - Supplies expert technical advice and counsel to PPRP on a specific area on a case by case basis as identified and requested by State Contract Monitor. Subject Matter Expert is a subcontractor to the Contractor and works under the direction of the Senior Manager. May provide expert testimony in an adjudicatory hearing. Ph.D. degree in the area of economics or equivalent in an applicable technical field; and at least 10 years relevant industry experience in an applicable technical discipline as specified below. The use of, or later additions and changes to, the use of the labor classification 'Subject Matter Expert must be pre-approved in writing by the Contract Monitor and include a detailed description of work, labor rate and total not-to-exceed labor hours.

Definitions of experience and equivalency are as follows: (A) Any combination of additional years of experience in the proposed field of expertise plus full-time college level study in the particular field totaling four (4) years will be an acceptable substitute for a B.S.. degree. (B) A degree plus any combination of additional years of experience and graduate level study in the proposed field of experience totaling two (2) years will be an acceptable substitute for a M.S. degree. (C) A B.S. degree plus any combination of additional years of experience and graduate level study in the proposed field of expertise totaling four (4) years or a M.S. degree plus two (2) years of either additional experience or graduate level study in the proposed field of expertise will be an acceptable substitute for a Ph.D. degree. (D) Additional years of graduate level study in an appropriate field will be considered equal to years of experience on a one-for-one basis.

## **FAD-4 Reports**

The Contractor shall provide management/status reports for their applicable activities to the Contract Monitor. Contractor shall provide reports in Microsoft Word or Microsoft Excel unless another software format is specified by the Contract Monitor. Contractor shall provide reports in the following manner:

- A. Contractor shall provide a monthly status and project activity report to the Contract Monitor as an attachment to the monthly invoices and shall include the following information:
  - Project Numbers;
  - Project Notice to Proceed (Startup Authorization) Date;
  - Target Completion Date;
  - Project Not To Exceed (NTE) Value (Original Budget and/or Revised



- Budget);
- Payments Received to Date;
- Status of Project, including percentage complete and projected hours and dollars;
- Special notice when a Project's NTE amount is projected to reach approximately 75% completion within 60 days of the reporting month;
- MBE monthly reports as specified in Attachment D; and
- Any other relevant information the Contractor or the Contract Monitor believes must be included due to the nature of a given Project's scope of work.

- B. Project Highlights and Summary shall be provided to the Contract Monitor upon request.
- C. All reporting to the State that requires a first draft with formal State review and comment will be identified by the State Contract Monitor. The Contractor shall ensure compliance to the State Contract Monitor's direction.



## **Attachment Q. Work Order Process for Extraordinary Services and Equipment Purchases**

Extraordinary Services and Equipment Purchases shall be provided via the following work order process:

- A. The Contract Monitor will email a request to the Contractor to provide extraordinary services or equipment. On accession, the Contract Monitor may contact the Contractor's single point of contact by telephone to orally convey the contents of a work order request. (Alternately, the Contractor may make the initial identification of the required service or equipment and contact the Contract Monitor.) The Contract Monitor's request shall include at a minimum:
  1. The due date and time for responding to the request;
  2. Technical requirements and description of the services or equipment needed
  3. Any specific information to be provided by the Contractor; and,
  4. Any requirements for meetings, reports or additional record keeping.
- B. The Contractor shall email a response to the Contract Monitor within the specified time and shall include at a minimum:
  1. A response to the description of the service or equipment that details the Contractor's understanding of the task;
  2. A written description of the proposed service or equipment purchase, including the level of resources (estimated labor hours for each labor category and/or direct costs) required and an explanation of how the services or equipment purchase will be accomplished;
  3. If applicable, identification of those activities that can be completed independently or simultaneously versus those that must be completed before another activity can commence;
  4. A detailed written description of any work to be subcontracted, and the name and address of the subcontractor(s), and the estimated subcontractor hours required to complete the task; and,
  5. A description of the specific work and the percentage of the total Work order which will be performed by the MDE9s, if applicable.
- C. The Contract Monitor will review the response and will either approve the work or provide a notice to proceed (NTP) or contact the Contractor to obtain additional information, clarification or revision to the work. If satisfied, the Contract Monitor will then provide the NTP, in writing (e.g., by email).

## Appendix 1. Abbreviations and Definitions

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

- A. Acceptable Use Policy (AUP) - A written policy documenting constraints and practices that a user must agree to in order to access a private network or the Internet.
- B. Access – The ability or the means necessary to read, write, modify, or communicate data/information or otherwise use any information system resource.
- C. Application Program Interface (API) – Code that allows two software programs to communicate with each other.
- D. Business Day(s) – The official working days of the week to include Monday through Friday. Official working days excluding State Holidays (see definition of “Normal State Business Hours” below).
- E. COMAR – Code of Maryland Regulations available on-line at <http://www.dsd.state.md.us/COMAR/ComarHome.html>.
- F. Contract – The Contract awarded to the successful Offeror pursuant to this RFP. The Contract will be in the form of **Attachment M**.
- G. Contract Monitor – The State representative for this Contract who is primarily responsible for Contract administration functions, including issuing written direction, invoice approval, monitoring this Contract to ensure compliance with the terms and conditions of the Contract, monitoring MBE and VSBE compliance, and achieving completion of the Contract on budget, on time, and within scope. The Contract Monitor may authorize in writing one or more State representatives to act on behalf of the Contract Monitor in the performance of the Contract Monitor’s responsibilities. The Department may change the Contract Monitor at any time by written notice to the Contractor.
- H. Contractor – The selected Offeror that is awarded a Contract by the State.
- I. Contractor Personnel – Employees and agents and subcontractor employees and agents performing work at the direction of the Contractor under the terms of the Contract awarded from this RFP.
- J. Data Breach – The unauthorized acquisition, use, modification or disclosure of State data, or other Sensitive Data.
- K. Department of Natural Resources (DNR or the “Department”).
- L. eMM – eMaryland Marketplace (see RFP **Section 4.2**).
- M. Enterprise License Agreement (ELA) – An agreement to license the entire population of an entity (employees, on-site contractors, off-site contractors) accessing a software or service for a specified period of time for a specified value.
- N. Information System – A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.
- O. Information Technology (IT) – All electronic information-processing hardware and software, including: (a) maintenance; (b) telecommunications; and (c) associated consulting services.
- P. Key Personnel – All Contractor Personnel identified in the solicitation as such that are essential to the work being performed under the Contract. See RFP **Sections 3.10**.

- Q. Local Time – Time in the Eastern Time Zone as observed by the State of Maryland. Unless otherwise specified, all stated times shall be Local Time, even if not expressly designated as such.
- R. Minority Business Enterprise (MBE) – Any legal entity certified as defined at COMAR 21.01.02.01B (54) which is certified by the Maryland Department of Transportation under COMAR 21.11.03.
- S. Normal State Business Hours - Normal State business hours are 8:00 a.m. – 5:00 p.m. Monday through Friday except State Holidays, which can be found at: [www.dbm.maryland.gov](http://www.dbm.maryland.gov) – keyword: State Holidays.
- T. Notice to Proceed (NTP) – A written notice from the Procurement Officer that work under the Contract, project, Work order or Work Order (as applicable) is to begin as of a specified date. The NTP Date is the start date of work under the Contract, project, Work order or Work Order. Additional NTPs may be issued by either the Procurement Officer or the Contract Monitor regarding the start date for any service included within this solicitation with a delayed or non-specified implementation date.
- U. NTP Date – The date specified in a NTP for work on Contract, project, Work order or Work Order to begin.
- V. Offeror – An entity that submits a Proposal in response to this RFP.
- W. Personally Identifiable Information (PII) – Any information about an individual maintained by the State, including (1) any information that can be used to distinguish or trace an individual identity, such as name, social security number, date and place of birth, mother’s maiden name, or biometric records; and (2) any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.
- X. PPRP – Power Plant Research Program
- Y. Procurement Officer – Prior to the award of any Contract, the sole point of contact in the State for purposes of this solicitation. After Contract award, the Procurement Officer has responsibilities as detailed in the Contract (**Attachment M**), and is the only State representative who can authorize changes to the Contract. The Department may change the Procurement Officer at any time by written notice to the Contractor.
- Z. Proposal – As appropriate, either or both of the Offeror’s Technical or Financial Proposal.
- AA. Protected Health Information (PHI) – Information that relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and (i) that identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.
- BB. Request for Proposals (RFP) – This Request for Proposals issued by the Department of Natural Resources (Department), with the Solicitation Number and date of issuance indicated in the Key Information Summary Sheet, including any amendments thereto.
- CC. Security Incident – A violation or imminent threat of violation of computer security policies, Security Measures, acceptable use policies, or standard security practices. “Imminent threat of violation” is a situation in which the organization has a factual basis for believing that a specific incident is about to occur.
- DD. Security or Security Measures – The technology, policy and procedures that a) protects and b) controls access to networks, systems, and data.

- EE. Sensitive Data - Means PII;PHI; other proprietary or confidential data as defined by the State, including but not limited to “personal information” under Md. Code Ann., Commercial Law § 14-3501(e) and Md. Code Ann., St. Govt. § 10-1301(c) and information not subject to disclosure under the Public Information Act, Title 4 of the General Provisions Article; and information about an individual that (1) can be used to distinguish or trace an individual’s identity, such as name, social security number, date and place of birth, mother’s maiden name, or biometric records; or (2) is linked or linkable to an individual, such as medical, educational, financial, and employment information.
- FF. Software - The object code version of computer programs licensed pursuant to this Contract. Embedded code, firmware, internal code, microcode, and any other term referring to software that is necessary for proper operation is included in this definition of Software. Software includes all prior, current, and future versions of the Software and all maintenance updates and error corrections. Software also includes any upgrades, updates, bug fixes or modified versions or backup copies of the Software licensed to the State by Contractor or an authorized distributor.
- GG. Software as a Service (SaaS) - A software licensing and delivery model in which software is licensed on a subscription basis and is centrally hosted. For the purposes of this RFP, the terms SaaS and PaaS are considered synonymous and the term SaaS will be used throughout this document.
- HH. State – The State of Maryland.
- II. Source Code – Executable instructions for Software in its high level, human readable form which are in turn interpreted, parsed and/or compiled to be executed as part of a computing system.
- JJ. System Availability – The period of time the Solution works as required excluding non-operational periods associated with planned maintenance.
- KK. System Documentation – Those materials necessary to wholly reproduce and fully operate the most current deployed version of the Solution in a manner equivalent to the original Solution including, but not limited to:
- 1) Source Code: This includes source code created by the Contractor or subcontractor(s) and source code that is leveraged or extended by the Contractor for use in the Contract;
  - 2) All associated rules, reports, forms, templates, scripts, data dictionaries and database functionality;
  - 3) All associated configuration file details needed to duplicate the run time environment as deployed in the current deployed version of the system;
  - 4) All associated design details, flow charts, algorithms, processes, formulas, pseudo-code, procedures, instructions, help files, programmer’s notes and other documentation;
  - 5) A complete list of Third Party, open source, or commercial software components and detailed configuration notes for each component necessary to reproduce the system (e.g., operating system, relational database, and rules engine software);
  - 6) All associated user instructions and/or training materials for business users and technical staff, including maintenance manuals, administrative guides and user how-to guides; and

- 7) Operating procedures.
- LL. Work order -- A subset of work authorized by the Contract Monitor performed under the general scope of this RFP, which is defined in advance of Contractor fulfillment, and which may not require a Contract Modification. Except as otherwise provided, any reference to the Contract shall be deemed to include reference to a Work order.
- MM. Technical Safeguards – The technology and the policy and procedures for its use that protect State Data and control access to it.
- NN. Third Party Software – Software and supporting documentation that:
  - 1) are owned by a third party, not by the State, the Contractor, or a subcontractor;
  - 2) are included in, or necessary or helpful to the operation, maintenance, support or modification of the Solution; and
  - 3) are specifically identified and listed as Third Party Software in the Proposal.
- OO. Total Proposal Price - The Offeror's total price for goods and services in response to this solicitation, included in Financial Proposal **Attachment B** – Financial Proposal Form.
- PP. Upgrade - A new release of any component of the Solution containing major new features, functionality and/or performance improvements.
- QQ. Veteran-owned Small Business Enterprise (VSBE) – A business that is verified by the Center for Verification and Evaluation (CVE) of the United States Department of Veterans Affairs as a veteran-owned small business. See Code of Maryland Regulations (COMAR) 21.11.13.

<b>Appendix 2. Offeror Information Sheet</b>
--

**Appendix 2. Offeror Information Sheet**

See link at [http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Appendix2-Bidder\\_OfferorInformationSheet.pdf](http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Appendix2-Bidder_OfferorInformationSheet.pdf).