

Mn/DOT Contract No.: 98414

OET No.: 2715

Admin No.: 24956

**IT Professional Technical Services
Master Contract Program
902TS
Statement of Work (SOW)
For Technology Services
Issued by**

Minnesota Department of Transportation (Mn/DOT)

Project Title: P1406 – Business Data Catalog Development

Service Categories: **REQUIRED:**

- Architecture Planning & Assessment – Information/Data

DESIRED:

- Analyst – Business
- Modeling – Data
- Project Management

1. Business Need

The primary goal of this project is to implement a business data catalog (BDC) Pilot using SharePoint 2010 to identify, locate, track and manage Mn/DOT's data assets such as safety, infrastructure and construction. Data is retained in several places making it difficult to locate and share, the BDC should be designed to add value and ease of access without a need to know the office or organization logic of the business in order to locate data.

The concept of BDC is similar to a library card catalog. This is where the business user goes to find data. The data will be defined by the data stewards for each data domain and data set. This effort is one part of Mn/DOT's overall Data Governance Plan as recommended by Mn/DOT's Business Information Council (BIC) and approved by Mn/DOT Division Directors to more closely meet industry best practices for data management.

1.1 History

Currently, important business data is retained in several places making it difficult to locate and share. There is data redundancy and difficulty identifying the authoritative source. There is limited meta-data and search capability. It is often not clear where the data is located or how to access the data.

1.2 Business Case

- 1.2.1 The intent/value is to provide better information, and means to access it, about Mn/DOT's business data, in business users' terms, and to fully support the reliability, completeness, timeliness, and other data quality attributes to most cost-effectively meet Mn/DOT's goals. This includes making better decisions based on better and reliable information.
- 1.2.2 The focus of this project is to complete a proof of concept by implementing SharePoint 2010 BDC functionality on a Pilot basis. The project pilot will be in a test environment. The proof of concept will be to demonstrate the required functionality with a sample data domain and/or data set.

- 1.2.3 The project will use the Office of Enterprise Technology (OET) BPOS-D SharePoint 2010 test environment.
- 1.2.4 The project stakeholders are:
 - A Data/Domain Steward
 - Mn/DOT Managers and all data users.
 - IT Staff
- 1.2.5 The following constraints have been identified as assumptions for this project:
 - The BDC Pilot must be implemented using Microsoft SharePoint 2010 without significant customization or programming. Any customization done to SharePoint should ensure that it will not impact any future SharePoint service packs or upgrades. The use of certified 3rd party tools (MS Plug-ins) may be added to the architecture to deliver the business requirements.
 - The “back-end”/database where the BDC tool stores all its data must be Oracle 11g.
 - The pilot will involve at least one data domain and data sets.
 - The choice of tools must take into account all existing data-handling tools currently in place and planned – see Project Environment.
- 1.3 This pilot project fits into the enterprise/agency strategic direction or plan by providing better access to Mn/DOT data which will enhance trust with transparency and accountability. It will also promote collaboration as data will be more easily shared and communicated. The improvement of timely access to higher quality data will support all of Mn/DOT’s strategic initiatives.
- 1.4 Responder Required Work Location: A significant portion of the work will be at Mn/DOT, and almost all of that will be at Mn/DOT Central Office, St. Paul. Some off-site work can be negotiated but the Pilot must be fully tested and operational in Mn/DOT’s infrastructure.

2. **Project Duties and Deliverables**

The Selected Responder will perform the duties specified in this section and provide the project deliverables detailed in this section.

- 2.1 Follow all technical specifications and processes identified in this SOW.
- 2.2 Due to the expeditious timeline, assign one or more people to satisfy this SOW.
- 2.3 Maintain sufficient resources (staff) to stay on schedule, support change management incidents. Change management staff should be available for potential meetings with Mn/DOT staff.
- 2.4 Provide training and knowledge transfer to key Mn/DOT staff as specified in this SOW.
- 2.5 Adhere to Mn/DOT’s testing and acceptance criteria.
- 2.6 Submit a best practice work plan/schedule, and estimated durations to complete each deliverable. In-depth discussion of work plans may occur at contract negotiations.
- 2.7 Report all work plans and completed requirements to the Mn/DOT Project Manager.
- 2.8 Perform unit and integration testing.
- 2.9 Thoroughly test and track all defects.
- 2.10 Adhere to Mn/DOT’s Project Documentation.
- 2.11 Perform the following specific tasks:
 - 2.11.1 Process:
 - Analysis and Requirements Gathering**
 - 2.11.1.1 Analyze, examine and document Mn/DOT’s current state of documenting data
 - 2.11.1.2 Facilitate, propose and work with Mn/DOT to develop business data catalog requirements and the business processes to populate and maintain the Mn/DOT business data catalog.

Specific deliverables required:

- Updated Work Plan
- Mn/DOT BDC Requirements Document
- Business process and supporting models

Design

- 2.11.1.3 Propose options for creating, maintaining, and accessing a business data catalog using SharePoint 2010 and additional tools if necessary
- 2.11.1.4 Workflow process for data life-cycle including roles and responsibilities of data stewards, stakeholders and data management staff.
- 2.11.1.5 Resource requirements and skills for data management roles and responsibilities to support the BDC design.
- 2.11.1.6 Perform fit/gap analysis between requirements and the identified options
- 2.11.1.7 Work with stakeholders to determine if SharePoint is the best solution for the pilot.
- 2.11.1.8 Work with stakeholders to select pilot and recommend pilot plan, includes the defining the scope or number of requirements for the pilot.
- 2.11.1.9 Provide a recommended option for creating, maintaining, and accessing a BDC that includes architectural design model and data models
- 2.11.1.10 Gain approval and acceptance of a proposed option by Mn/DOT Management

Specific deliverables required:

- Requirements traceability matrix
- Gap Analysis Report between requirements and SharePoint (and any additional tools)
- BDC Recommendation and System Architecture Diagram
- BDC management process recommendation

Implementation

- 2.11.1.11 Document and confirm BDC Pilot Scope and create plan
- 2.11.1.12 Selected vendor will need to work with Mn/DOT to provide procurement support for additional tools and software required for the approved design solution.
- 2.11.1.13 Selected vendor will need to work with Mn/DOT and OET staff to provide configuration support for SharePoint and tools for the approved design solution.
- 2.11.1.14 Test/Pilot recommended processes, SharePoint and tools
- 2.11.1.15 Populate data using approved process and tool(s) to complete Mn/DOT Business Data Catalog data and reporting based on pilot scope.
- 2.11.1.16 Provide Mn/DOT specific support documentation materials on tool usage, data population, and maintenance processes

Specific deliverables required:

- BDC Pilot Plan
- BDC Testing Environment based on approved design
- Implement Pilot
- Test/Pilot Results Document based on Requirements Matrix
- Support documentation materials on tool usage, data population, and maintenance processes (as time permits)

3. Project Milestones and Schedule

3.1 Project start date: Upon Execution of Contract

3.2 Key deliverable dates:

Tasks	Due Date
Project Plan document	Week One (after project start date)
Analysis and Requirements Gathering	Week Two (after project start date)
Design Phase	One Month (after project state date)
Development Phase	June 10, 2011
Implementation Phase (Pilot)	June 30, 2011

3.3 Project end date: June 30, 2011

4. Project Environment (Mn/DOT Resources)

4.1 Mn/DOT will provide technical and business resources to assist with the project as follows:

- 4.1.1 Approximately 10 IT staff and 20 business staff to assist with the project, on an as needed basis.
- 4.1.2 SharePoint 2010 Development Server will be installed and available for this project.
- 4.1.3 Mn/DOT’s Project Manager will be: James Close. For all inquiries regarding this SOW contact the contract administrator Melissa McGinnis at 651-366-4644. Contact with any other Mn/DOT personnel regarding this SOW may result in disqualification.
- 4.1.4 The basic project organizational structure consists of Mn/DOT’s CIO as the Project Champion, Mn/DOT’s Project Manager, Data Steward for Pilot Data Domain(s), Mn/DOT’s BI Project Manager and Architect
- 4.1.5 Mn/DOT Staff Proficiency Levels and Experience relevant to the project: Mn/DOT staff understand the concepts and goals for data governance but do not have experience with BDC tools. They do have a high level of experience relevant to Mn/DOT data strategies, processes, standards, and tools.
- 4.1.6 Other IT Projects and non-project work going on or planned that are related to this Project
 - Data Governance including Business Data Stewardship and Custodians
 - Data Management Function
 - Business Intelligence (BI) and Enterprise Warehouse
 - Enterprise Data Architecture

4.2 The technical infrastructure and support structures currently in place or expected to be in place for this project include:

- 4.2.1 Oracle RDBMS 11g server for BDC data
- 4.2.2 Oracle Business Intelligence
- 4.2.3 Microsoft SharePoint 2010

5. Project Requirements/Responsibilities Expected of the Selected Vendor.

The Selected Responder will adhere to the following:

- 5.1 Compliance with the Statewide Enterprise Architecture
- 5.2 Compliance with Statewide Project Management Methodology
- 5.3 Compliance with applicable industry/agency standards
- 5.4 Transition and offload of the implemented pilot environment and results to Mn/DOT staff

6. Required Skills (These are to be rated on a pass/fail basis)

Required minimum qualifications are shown in the following table. The proposal must specifically indicate how members of the Responder's team meet these minimum qualifications. This portion of the proposal review will be conducted on a pass/fail basis. If Mn/DOT determines, in its sole discretion, that the Responder fails to meet one or more of these requirements (or that the Responder has not submitted sufficient information to make the pass/fail determination), then the proposal will be eliminated from further review.

	Minimum Number of Years Experience	Required Skill Type
6.1	5 yrs	Data Management experience in a large, complex, de-centralized organization including: <ol style="list-style-type: none"> 1. Business Data Catalogs 2. Data Dictionary 3. Meta-data 4. Data Repository 5. Data Management Tools 6. Data Management Processes and Methodologies 7. Data Security
6.2	5 yrs	Data Definition Experience
6.3	5 yrs	Data Modeling Experience
6.4	5 yrs	Data Architecture Experience
6.5	5 yrs	Organization of quality information management systems experience
6.6	5 yrs	Process management and improvement experience
6.7	3 yrs	Expertise and applied experience in the design and development of Business Data Catalog creation, management and publication
6.8	3 yr	Expertise and applied experience in SharePoint 2007, with knowledge of features to deploy a Business Data Catalog
6.9	6 months	Expertise in SharePoint 2010, with knowledge of features to deploy a Business Data Catalog
6.10	3 yrs	Latest data management developments and predicted future directions
6.11	5 yrs	Facilitation skills / experience
6.12	5 yrs	Meta-data, Data Categorization, Taxonomy skills
6.13	3 yrs	Oracle 10g, Oracle 11g

7. Desired Skills

Mn/DOT desires a project team with the skills shown in the table below. The extent to which the Responder meets or exceeds the desired skills will be included as part of the qualitative evaluation of the proposal.

	Number of Years Experience	Required Skill Type
7.1	5 yrs	Strong communication, analytical and problem solving skills.
7.2	1 yr	Expertise and applied experience with Business Data Catalog SharePoint 2007 business integration feature
7.3	1 yr	Expert knowledge of DMBOK or DAMA Certification

8. Process Schedule

8.1	Deadline for Questions	04/11/2011 2:00 PM Central Daylight Time
8.2	Posted Response to Questions (anticipated)	04/12/2011 2:00 PM Central Daylight Time
8.3	Proposals due	04/18/2011 2:00 PM Central Daylight Time
8.4	Anticipated proposal evaluation begins	04/19/2011
8.5	Anticipated proposal evaluation & decision	04/25/2011

9. Questions

All questions regarding this SOW must be addressed to the Mn/DOT Contract Administrator listed below. Proposers may not discuss the content of this SOW with other Mn/DOT staff. Any questions regarding this SOW must be received via e-mail by 0/11/2011, 2:00PM Central Daylight Time.

Melissa McGinnis
melissa.mcginnis@state.mn.us

It is anticipated that questions and answers will be posted on the Office of Enterprise Technology’s web site by 04/12/2011, 2:00pm Central Daylight Time (www.oet.state.mn.us). Note that questions may be posted verbatim as submitted.

10. Liability for Work Performed

In the performance of this contract by Contractor, or Contractor’s agents or employees, the Contractor must indemnify, save, and hold harmless the State, its agents, and employees, from any claims or causes of action, including attorney’s fees incurred by the state, to the extent caused by Contractor’s:

- 1) Intentional, willful, or negligent acts or omissions; or
- 2) Actions that give rise to strict liability; or
- 3) Breach of contract or warranty.

The indemnification obligations of this section do not apply in the event the claim or cause of action is the result of the State’s sole negligence. This clause will not be construed to bar any legal remedies the Contractor may have for the State’s failure to fulfill its obligation under this contract.

The “Standard Liability Clause” (see above) will apply to this project and will be incorporated into the work order issued for this project. No exceptions to, or deviations from, this clause will be permitted. Do not submit a proposal if you cannot accept this liability clause. Proposals which the State determines, in its sole discretion, indicate non-acceptance of this liability clause, will be rejected by the State.

11. SOW Evaluation Process

Mn/DOT representatives will evaluate proposals received by the deadline. Proposals will be evaluated on a “Best Value” basis of 70% qualifications and 30% cost considerations. The review committee will not open the cost proposals until after the qualifications points have been awarded.

The selection process being used for this project involves a three step process. Step one will include the pass/fail assessment and a qualitative evaluation of Contractors’ technical proposal. Step Two will be an interview of two or more Responders who received the top scores in step one. Step Two may be eliminated at Mn/DOT’s discretion based on the results of the step one’s evaluations. Step three will be an analysis of the cost proposal.

Mn/DOT will review proposals according to the following criteria:

• Proposed work plan, including the apparent ability to complete project	15%
--	-----

	on time and on budget.	
•	Experience of personnel assigned to this project	35%
•	Extent to which personnel assigned to this project meet the Desired Skills	10%
•	Interview	10%
•	Cost	30%

Mn/DOT reserves the right to check references and to review previous performance reviews for work performed for Mn/DOT or other state agencies, and to take such references and reviews into account for consultant selection purposes.

The following contains additional information describing the proposal evaluation process:

Step One

In step one the proposals will first be reviewed to verify whether the proposer meets the “Required Skills” (see section six). Proposals receiving a “fail” on one or more of the required skills will not be reviewed further. Proposals which pass the Required Skills review will then be scored on the non-cost and non-interview factors listed above.

Step Two

The two (or more, at Mn/DOT’s discretion) proposers receiving the highest score in step one may be required to participate in a structured interview. The interview will be approximately one hour in length and consist of structured interview questions prepared by Mn/DOT. Mn/DOT will designate the number and type of Proposer team members to attend the interview. The interview will be 10 points of the total evaluation. Mn/DOT reserves the rights to eliminate Step Two interviews if in the judgment of Mn/DOT selection committee, additional questions are not required. If, after completion of step one, Mn/DOT decides not to require interviews, then the 10 points will not be utilized and the selection will be based on a 90 point scale.

It is anticipated that interviews will be conducted during the week of 04/18/2011 so please plan accordingly. Interview questions will be available to the Proposers 15 minutes prior to the interview. The proposer will be responsible for its own interview costs.

Step Three

Cost proposal will be evaluated and scored in accordance with the percentage listed above. Cost will not be revealed to selection committee members until after the technical scoring (and interviews, if any) has been completed.

12. Response Requirements

- 12.1 Introduction.
- 12.2 Company overview.
- 12.3 Project overview.
- 12.4 Detailed response to “Mn/DOT Project Requirements”.
 - 12.4.1 Description of the responder’s understanding of the need and explanation of their proposed solution.
 - 12.4.2 Explain how the project will meet the requirements.
 - 12.4.3 For each “response,” responder would need to explain if their solution already includes the business/project requirements or would the solution have to be modified.
 - 12.4.4 Include description of software/hardware configuration.

12.5 Detailed response to “Project Approach”.

Explain how the responder will approach their participation in the project. This includes:

- 12.5.1 Organization and staffing. Include staff qualifications in a chart AND resumes or other manner that will allow Mn/DOT to easily determine if assigned key staff meets the required skills and the extent to which assigned staff meet or exceed the desired skills. **YOUR RESUMES MUST CLEARLY INDICATE THE REQUIRED/DESIRED SKILLS IDENTIFIED IN THE CHART YOU PROVIDE.**

Required Skill type	Personnel/ Years of Experience	Project(s) worked on demonstrating these skills	Reference (name, company, phone number)

12.5.2 Work-plan, including a realistic plan to meet the projects target completion date.

12.5.3 Contract/change management procedures.

12.5.4 Project management (e.g. quality management, risk assessment/management, etc.).

12.5.5 Documentation of progress such as status reports.

12.6 References: Provide three clients for similar type projects.

12.7 Conflict of interest statement as it relates to this service

12.8 Submit a cost proposal in a separate sealed envelope. Rates proposed may not exceed the rates approved under this program. Cost proposal must include the number of anticipated hours, classifications of personnel, personnel hourly rates and a total project cost. If direct expenses are anticipated they must be detailed in the cost proposal. **The cost estimate must correspond to the detailed work plan and schedule that includes time estimates, associated deliverables, and staff assigned to each task.** Your cost proposal must be structured as follows:

Tasks	Pricing Structure
Project Plan Document	Fixed Price (for delivery in 1 week)
Analysis and Requirements Gathering	Fixed Price (for delivery in 2 weeks)
Design Phase; Mn/DOT SharePoint 2010 Development Environment; Implementation Phase (Pilot)	Time and Materials (for delivery in 6 weeks). <i>This is a fixed duration. You must include employee names, classifications and hourly rates along with the anticipated number of hours and a total cost for completion of these tasks.</i>
TOTAL COST	Include a Total Cost for project completion.

12.9 Required forms to be returned or additional provisions that must be included in proposal

12.9.1 **Location of Service Disclosure Form.**

12.9.2 **Conflict of Interest Form**

Proposer must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this request for proposals. The list should indicate the name of the entity, the relationship, and a discussion of the conflict.

The proposer warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances which could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, a proposer is unable or potentially unable to render impartial assistance or advice to

Mn/DOT, or the proposer's objectivity in performing the contract work is or might be otherwise impaired, or the proposer has an unfair competitive advantage. The proposer agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to Mn/DOT which must include a description of the action which the proposer has taken or proposes to take to avoid or mitigate such conflicts. If an organization conflict of interest is determined to exist, Mn/DOT may, at its discretion, cancel the contract. In the event the proposer was aware of an organizational conflict of interest prior to the award of the contract and did not disclose the conflict to Mn/DOT, Mn/DOT may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed similar to the service provided by the prime contractor, and the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve Mn/DOT's rights. Proposers must complete the attached "Conflict of Interest Checklist and Disclosure Form" and submit it along with the response, but not as a part of the response.

12.9.3 Affidavit of non-collusion

Proposers must complete the attached "Affidavit of Noncollusion" and include it with the response. The successful proposer will be required to submit acceptable evidence of compliance with workers' compensation insurance coverage requirements prior to execution of the Contract.

12.9.4 Certification Regarding Lobbying

Federal money may be used to pay for all or part of the work under the Contract, therefore the responder must complete the attached Certification Regarding Lobbying and submit it as part of its proposal.

12.9.5 Affirmative Action Certification

For all Contracts estimated to be in excess of \$100,000.00, responders are required to complete the attached "Affirmative Action Certification" page and include it with the response.

12.9.6 Veteran-Owned/Service-Disabled Veteran-Owned Preference Forms.

Proposers must complete and submit this form if claiming preference as a qualified proposer.

14. Proposal Submission Instructions

Submit 7 copies of the response. Responses are to be submitted in a mailing envelope or package, clearly marked "Proposal" on the outside. Cost proposals are to be submitted in a separate sealed envelope. An authorized member of the firm must sign each copy of the response in ink.

All responses must be sent to:

**Melissa McGinnis, Contract Administrator
Minnesota Department of Transportation
Consultant Services Section
395 John Ireland Boulevard
St. Paul, Minnesota 55155**

All responses must be received not later than 2:00 p.m. Central Daylight Time on **April 18, 2011**, as indicated by the time stamp made by the Contract Administrator. **Please note that Mn/DOT Offices have implemented security measures.** These procedures do not allow non-Mn/DOT employees to have access to the elevators or the stairs. You should plan enough time and follow these instructions for drop-off:

- Enter through the Rice Street side of the Central Office building (1st Floor).
- Once you enter through the doors, you should proceed to the first floor Information Desk.

- **Proposals are accepted at the first floor Information Desk only.** The receptionist will call the Contract Administrator to come down and to time stamp the proposal. Please keep in mind Mn/DOT is very strict on the proposal deadline. Proposals will not be accepted after 2:00pm.

15. **General Requirements**

15.1 **Proposal Contents**

By submission of a proposal, Proposer warrants that the information provided is true, correct and reliable for purposes of evaluation for potential award of a work order. The submission of inaccurate or misleading information may be grounds for disqualification from the award as well as subject the proposer to suspension or debarment proceedings and other remedies available at law.

15.2 **Disposition of Responses**

All materials submitted in response to this SOW will become property of the State and will become public record in accordance with Minnesota Statutes, section 13.591, after the evaluation process is completed. Pursuant to the statute, completion of the evaluation process occurs when the government entity has completed negotiating the contract with the selected Proposer. If the Proposer submits information in response to this SOW that it believes to be trade secret materials, as defined by the Minnesota Government Data Practices Act, Minn. Stat. § 13.37, the Proposer must: clearly mark all trade secret materials in its response at the time the response is submitted, include a statement with its response justifying the trade secret designation for each item, and defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the State, its agents and employees, from any judgments or damages awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the State's award of a contract. In submitting a response to this RFP, the Proposer agrees that this indemnification survives as long as the trade secret materials are in possession of the State.

Mn/DOT will not consider the prices submitted by the Proposer to be proprietary or trade secret materials.

16. **No State Obligation**

Issuance of this Statement of Work does not obligate Mn/DOT to award a contract or complete the assignment, and Mn/DOT reserves the right to cancel this solicitation if it is considered to be in its best interest. Mn/DOT reserves the right to reject any and all proposals.

17. **Veteran-owned/Service Disabled Veteran-Owned Preference**

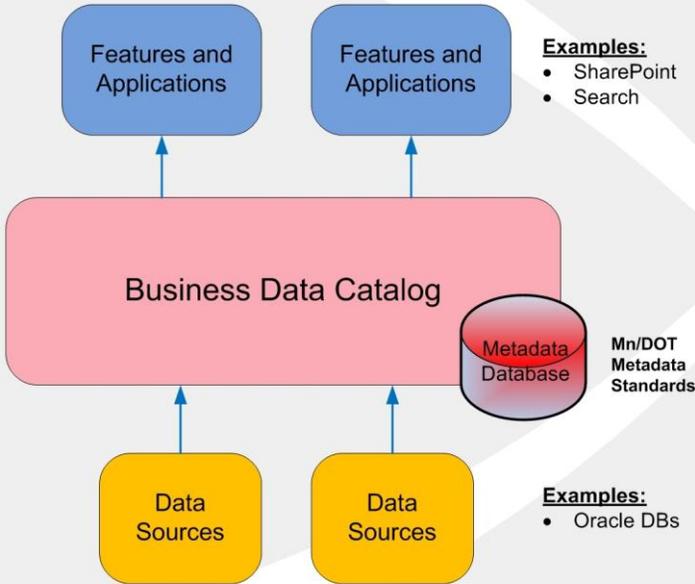
In accordance with Laws of Minnesota, 2009, Chapter 101, Article 2, Section 56, eligible certified veteran-owned and eligible certified service-disabled veteran-owned small businesses will receive a 6 percent preference in the evaluation of their proposal.

Eligible veteran-owned and eligible service-disabled veteran-owned small businesses should complete the Veteran-Owned/Service Disabled Veteran-Owned Preference Form in this solicitation, and include the required documentation. Only eligible, certified, veteran-owned/service disabled small businesses that provide the required documentation, per the form, will be given the preference.

Eligible veteran-owned and eligible service-disabled veteran-owned small businesses must be **currently** certified by the U.S. Department of Veterans Affairs prior to the solicitation opening date and time to receive the preference. Information regarding certification by the United States Department of Veterans Affairs may be found at <http://www.vetbiz.gov>.

Exhibit A

**P1406 Mn/DOT Business Data Catalog
Architecture Conceptual Diagram**



4/6/2011

Exhibit B – Mn/DOT Metadata Standards

Mn/DOT Metadata Element Standards (Mn/DOT, Data Business Plan 031910)

Element	Definition	Table Level	Column Level
Title	The name given to the entity.	X	X
Point of Contact	The organizational unit that can be contacted with questions regarding the entity or accessing the entity.	X	
Subject	The subject or topic of the entity which is selected from a standard subject list.	X	
Description	A written account of the content or purpose of the entity. Accuracy or quality descriptions may also be included.	X	X
Update Frequency	A description of how often the record is update or refreshed.	X	
Date Updated	The point or period of time which the entity was updated.	X	
Format	The file format or physical form of the entity.		X
Source	The primary source of record from which the described resource originated.	X	
Lineage	The history of the entity; how it was created and revised.	X	
Dependencies	Other entities, systems, and tables that is dependent on the entity.	X	

The mandatory elements and definitions are based on the Dublin Core Metadata Element Set (DCME) and the Minnesota Recordkeeping Metadata Standard.

**STATE OF MINNESOTA
VETERAN-OWNED/SERVICE DISABLED VETERAN-OWNED PREFERENCE FORM**

In accordance with Laws of Minnesota, 2009, Chapter 101, Article 2, Section 56, eligible certified veteran-owned and eligible certified service-disabled veteran-owned small businesses will receive a 6 percent preference in the evaluation of their proposal.

Eligible veteran-owned and eligible service-disabled veteran-owned small businesses include certified small businesses that are majority-owned and operated by either (check the box that applies and attach the certification documents required with your response to this solicitation):

- (1) recently separated veterans, who are veterans as defined in Minn. Stat. §197.447, who have served in active military service, at any time on or after September 11, 2001, and who have been discharged under honorable conditions from active service, as indicated by the person's United States Department of Defense form DD-214 or by the commissioner of veterans affairs; or
Required Documentation:
- certification by the United States Department of Veterans Affairs as a veteran-owned small business
 - discharge form (DD-214) dated on or after September 11, 2001 with condition honorable
- (2) Veterans who are veterans as defined in Minn. Stat. § 197.447, with service-connected disabilities, as determined at any time by the United States Department of Veterans Affairs.
Required Documentation:
- certification by the United States Department of Veterans Affairs as a service-disabled veteran-owned small business.

Eligible veteran-owned and eligible service-disabled veteran-owned small businesses must be **currently** certified by the U.S. Department of Veterans Affairs prior to the solicitation opening date and time to receive the preference.

Information regarding certification by the United States Department of Veterans Affairs may be found at <http://www.vetbiz.gov>.

You must submit this form and the documentation required above with your response in order to be considered for this preference.

CONFLICT OF INTEREST CHECKLIST AND DISCLOSURE FORM

Purpose of this Checklist. This checklist is provided to assist proposers in screening for potential organizational conflicts of interest. The checklist is for the internal use of proposers and does not need to be submitted to Mn/DOT, however, the Disclosure of Potential Conflict of Interest form should be submitted in a separate envelope along with your proposal.

Definition of “Proposer”. As used herein, the word “Proposer” includes both the prime contractor and all proposed subcontractors.

Checklist is Not Exclusive. Please note that this checklist serves as a guide only, and that there may be additional potential conflict situations not covered by this checklist. If a proposer determines a potential conflict of interest exists that is not covered by this checklist, that potential conflict must still be disclosed.

Use of the Disclosure Form. A proposer must complete the attached disclosure form and submit it with their Proposal (or separately as directed by Mn/DOT for projects not awarded through a competitive solicitation). If a proposer determines a potential conflict of interest exists, it must disclose the potential conflict to Mn/DOT; however, such a disclosure will not necessarily disqualify a proposer from being awarded a Contract. To avoid any unfair “taint” of the selection process, the disclosure form should be provided separate from the bound proposal, and it will not be provided to selection committee members. Mn/DOT Contract Management personnel will review the disclosure and the appropriateness of the proposed mitigation measures to determine if the proposer may be awarded the contract notwithstanding the potential conflict. Mn/DOT Contract Management personnel may consult with Mn/DOT’s Project Manager and Department of Administration personnel. By statute, resolution of conflict of interest issues is ultimately at the sole discretion of the Commissioner of Administration.

Material Representation. The proposer is required to submit the attached disclosure form either declaring, to the best of its knowledge and belief, either that no potential conflict exists, or identifying potential conflicts and proposing remedial measures to ameliorate such conflict. The proposer must also update conflict information if such information changes after the submission of the proposal. Information provided on the form will constitute a material representation as to the award of this Contract. Mn/DOT reserves the right to cancel or amend the resulting contract if the successful proposer failed to disclose a potential conflict, which it knew or should have known about, or if the proposer provided information on the disclosure form that is materially false or misleading.

Approach to Reviewing Potential Conflicts. Mn/DOT recognizes that proposer’s must maintain business relations with other public and private sector entities in order to continue as viable businesses. Mn/DOT will take this reality into account as it evaluates the appropriateness of proposed measures to mitigate potential conflicts. It is not Mn/DOT’s intent to disqualify proposers based merely on the existence of a business relationship with another entity, but rather only when such relationship causes a conflict that potentially impairs the proposer’s ability to provide objective advice to Mn/DOT. Mn/DOT would seek to disqualify proposers only in those cases where a potential conflict cannot be adequately mitigated. Nevertheless, Mn/DOT must follow statutory guidance on Organizational Conflicts of Interest.

Statutory Guidance. Minnesota Statutes §16C.02, subd. 10 (a) places limits on state agencies ability to contract with entities having an “Organizational Conflict of Interest”. For purposes of this checklist and disclosure requirement, the term “Vendor” includes “Proposer” as defined above. Pursuant to such statute, “Organizational Conflict of Interest” means that because of existing or planned activities or because of relationships with other persons: (1) the vendor is unable or potentially unable to render impartial assistance or advice to the state; (2) the vendor’s objectivity in performing the contract work is or might otherwise be impaired; or (3) the vendor has an unfair advantage.

Additional Guidance for Professionals Licensed by the Minnesota Board of Engineering. The Minnesota Board of Engineering has established conflict of interest rules applicable to those professionals licensed by the Board (see Minnesota Rules part 1805.0300) Subpart 1 of the rule provides “A licensee shall avoid accepting a commission where duty to the client or the public would conflict with the personal interest of the licensee or the interest of another client. Prior to accepting such employment the licensee shall disclose to a prospective client such facts as may give rise to a conflict of interest”.

An organizational conflict of interest may exist in any of the following cases:

- The proposer, or its principals, own real property in a location where there may be a positive or adverse impact on the

value of such property based on the recommendations, designs, appraisals, or other deliverables required by this Contract.

- ❑ The proposer is providing services to another governmental or private entity and the proposer knows or has reason to believe, that entity's interests are, or may be, adverse to the state's interests with respect to the specific project covered by this contract. **Comment:** the mere existence of a business relationship with another entity would not ordinarily need to be disclosed. Rather, this focuses on the nature of services commissioned by the other entity. For example, it would not be appropriate to propose on a Mn/DOT project if a local government has also retained the proposer for the purpose of persuading Mn/DOT to stop or alter the project plans.
- ❑ The Contract is for right-of-way acquisition services or related services (e.g. geotechnical exploration) and the proposer has an existing business relationship with a governmental or private entity that owns property to be acquired pursuant to the Contract.
- ❑ The proposer is providing real estate or design services to a private entity, including but not limited to developers, whom the proposer knows or has good reason to believe, own or are planning to purchase property affected by the project covered by this Contract, when the value or potential uses of such property may be affected by the proposer's performance of work pursuant to this Contract. "Property affected by the project" includes property that is in, adjacent to, or in reasonable proximity to current or potential right-of-way for the project. The value or potential uses of the private entity's property may be affected by the proposer's work pursuant to the Contract when such work involves providing recommendations for right-of-way acquisition, access control, and the design or location of frontage roads and interchanges. **Comment:** this provision does not presume proposers know or have a duty to inquire as to all of the business objectives of their clients. Rather, it seeks the disclosure of information regarding cases where the proposer has reason to believe that its performance of work under this contract may materially affect the value or viability of a project it is performing for the other entity.
- ❑ The proposer has a business arrangement with a current Mn/DOT employee or immediate family member of such employee, including promised future employment of such person, or a subcontracting arrangement with such person, when such arrangement is contingent on the proposer being awarded this Contract. This item does not apply to pre-existing employment of current or former Mn/DOT employees, or their immediate family members. **Comment:** this provision is not intended to supersede any Mn/DOT policies applicable to its own employees accepting outside employment. This provision is intended to focus on identifying situations where promises of employment have been made contingent on the outcome of this particular procurement. It is intended to avoid a situation where a proposer may have unfair access to "inside" information.
- ❑ The proposer has, in previous work for the state, been given access to "data" relevant to this procurement or this project that is classified as "private" or "nonpublic" under the Minnesota Government Data Practices Act, and such data potentially provides the proposer with an unfair advantage in preparing a proposal for this project. **Comment:** this provision will not, for example, necessarily disqualify a proposer who performed some preliminary work from obtaining a final design Contract, especially when the results of such previous work are public data available to all other proposers. Rather, it attempts to avoid an "unfair advantage" when such information cannot be provided to other potential proposers. Definitions of "government data", "public data", "non-public data" and "private data" can be found in Minnesota Statutes Chapter 13.
- ❑ The proposer has, in previous work for the state, helped create the "ground rules" for this solicitation by performing work such as: writing this solicitation, or preparing evaluation criteria or evaluation guides for this solicitation.
- ❑ The proposer, or any of its principals, because of any current or planned business arrangement, investment interest, or ownership interest in any other business, may be unable to provide objective advice to the state.

DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST

Having had the opportunity to review the Organizational Conflict of Interest Checklist, the proposer hereby indicates that it has, to the best of its knowledge and belief:

- Determined that no potential organizational conflict of interest exists.
- Determined a potential organizational conflict of interest as follows:

Describe nature of potential conflict

Describe measures proposed to mitigate the potential conflict

Signature

Date

If a potential conflict has been identified, please provide name and phone number for a contact person authorized to discuss this disclosure form with Mn/DOT contract personnel.

Name

Phone

STATE OF MINNESOTA
AFFIDAVIT OF NONCOLLUSION

I swear (or affirm) under the penalty of perjury:

- 1. That I am the Responder (if the Responder is an individual), a partner in the company (if the Responder is a partnership), or an officer or employee of the responding corporation having authority to sign on its behalf (if the Responder is a corporation);
- 2. That the attached proposal submitted in response to the _____ Statement of Work has been arrived at by the Responder independently and has been submitted without collusion with and without any agreement, understanding or planned common course of action with, any other Responder of materials, supplies, equipment or services described in the Request for Proposal, designed to limit fair and open competition;
- 3. That the contents of the proposal have not been communicated by the Responder or its employees or agents to any person not an employee or agent of the Responder and will not be communicated to any such persons prior to the official opening of the proposals; and
- 4. That I am fully informed regarding the accuracy of the statements made in this affidavit.

Responders' Firm Name: _____

Authorized Signature: _____

Date: _____

Subscribed and sworn to me this _____ day of _____
(day) (Month Year)

Notary Public _____

My commission expires: _____

SAMPLE WORK ORDER LANGUAGE

STATE OF MINNESOTA
IT Professional Services Master Contract Work Order

This work order is between the State of Minnesota, acting through its Commissioner of Transportation ("State") and [fill in name of contractor, be sure to indicate if corporation, partnership, limited liability company, sole proprietor, etc] ("Contractor"). This Work Order is issued under the authority of Master Contract T-Number 502TS, CFMS Number [fill in CFMS number from the contractor's master contract], and is subject to all provisions of the Master Contract which is incorporated by reference.

Recitals

1. Under Minn. Stat. § 15.061 [Insert additional statutory authorization if necessary] the State is authorized to engage such assistance as deemed necessary.
2. The State is in need of [Add brief narrative of the purpose of the contract].
3. The Contractor represents that it is duly qualified and agrees to perform all services described in this work order to the satisfaction of the State.

Work Order

1 Term of Work Order; Incorporation of Exhibits; Survival of Terms

- 1.1 **Effective date.** This Work Order will take effect on the date the State obtains all required signatures as required by Minn. Stat. § 16C.05, subd. 2.
The Contractor must not begin work under this work order until it is fully executed and the Contractor has been notified by the State's Authorized Representative to begin the work.
- 1.2 **Expiration date.** This Work Order will expire on [fill in date], or when all obligations have been satisfactorily fulfilled, whichever occurs first.
- 1.3 **Exhibits.** Exhibits [fill in, e.g. A – D] are attached and incorporated into this Work Order.
- 1.4 **Survival of terms.** All clauses which impose obligations continuing in their nature and which must survive in order to give effect to their meaning will survive the expiration or termination of this Work Order.

2 Contractor's Duties

The Contractor, who is not a state employee, will:

[Provide a detailed scope of services. The services must define specific duties, deliverables, and deliverable completion dates. Do not simply attach the same scope that was used in the "Statement of Work" (RFP) as a greater level of detail is needed in this work order. If using a separate attachment, use "Perform the duties specified in Exhibit A, "Scope of Services".]

3 Consideration and Payment

3.1 Consideration

The State will pay for all services performed by the Contractor under this work order as follows:

3.1.1 *Compensation.* The Contractor will be paid as follows:

[Provide a detailed explanation of how the Contractor will be paid, for example a fixed hourly rate, or a lump sum per deliverable, some examples may be:
an Hourly Rate of \$_____ up to maximum of _____ hours, but not to exceed \$_____.

a Lump Sum of \$_____.]

[Rate: rates paid may not exceed the Contractor's rates specified in their Master Contract.]

3.1.2 *Travel Expenses.* Reimbursement for travel and subsistence expenses actually and necessarily incurred by Contractor, as a result of this Work Order, will be reimbursed for travel and subsistence expenses in the same manner and in no greater amount than provided in the current Minnesota Department of Transportation Travel Regulations. Contractor will not be reimbursed for travel and subsistence expenses incurred outside Minnesota unless it has received State's prior written

approval for out of state travel. Minnesota will be considered the home state for determining whether travel is out of state. See Exhibit ____ for the current Minnesota Department of Transportation Reimbursement Rates for Travel Expenses.

- 3.1.3 *Total Obligation.* The total obligation of the State for all compensation and reimbursements to the Contractor under this Work Order will not exceed \$ [fill in].

3.2 Payment

- 3.2.1 *Invoices.* State will promptly pay Contractor after Contractor presents an itemized invoice for the services actually performed and State's Authorized Representative accepts the invoiced services. Invoices must be submitted in the format prescribed in Exhibit ____ and according to the following schedule:

[INDICATE WHEN YOU WANT THE CONTRACTOR TO SUBMIT INVOICES, FOR EXAMPLE: "MONTHLY" OR "UPON COMPLETION OF SERVICES," OR IF THERE ARE SPECIFIC DELIVERABLES, LIST HOW MUCH WILL BE PAID FOR EACH DELIVERABLE. THE STATE DOES NOT PAY MERELY FOR THE PASSAGE OF TIME.]

- 3.2.1.1 Each invoice must contain the following information: Mn/DOT Contract Number, Mn/DOT Contract invoice number (sequentially numbered), billing address if different from business address, and Contractor's original signature attesting that the invoiced service and costs are new and that no previous charge for those services or goods has been included in any prior invoice.
- 3.2.1.2 Direct nonsalary costs allocable to the work under this Work Order must be itemized and supported with invoices or billing documents to show that such costs are properly allocable to the work. Direct nonsalary costs are any costs that are not the salaried costs directly related to the work of Contractor. Supporting documentation must be provided in a manner that corresponds to each direct cost.
- 3.2.1.3 The original of each invoice must be sent to State's Authorized Representative for review and payment. A copy of the invoice will be sent to State's Project Manager for review.
- 3.2.1.4 Contractor must provide, upon request of State's Authorized Representative, the following supporting documentation:
- 3.2.1.5 Direct salary costs of employees' time directly chargeable for the services performed under this Work Order. This must include a payroll cost breakdown identifying the name of the employee, classification, actual rate of pay, hours worked, and total payment for each invoice period; and
- 3.2.1.6 Signed time sheets or payroll cost breakdown for each employee listing dates and hours worked. Computer generated printouts of labor costs for the project must contain the project number, each employee's name, hourly rate, regular and overtime hours, and the dollar amount charged to the project for each pay period.
- 3.2.1.7 If Contractor is authorized by State to use or uses any subcontractors, Contractor must include all the above supporting documentation in any subcontractor's contract, and Contractor must make timely payments to its subcontractors. Contractor must require subcontractors' invoices to follow the same form and contain the same information as set forth above.
- 3.2.2 *Retainage.* Under Minnesota Statutes § 16C.08, subdivision 5(b), no more than 90% of the amount due under this Contract may be paid until State's agency head has reviewed the final product of this Contract. The balance due will be paid when State's agency head determines that Contractor has satisfactorily fulfilled all the terms of this Contract.
- 3.2.3 *Federal Funds.* If federal funds are used, Contractor is responsible for compliance with all federal requirements imposed on these funds and accepts full financial responsibility for any requirements imposed by Contractor's failure to comply with these federal requirements.

3.2.4 *Progress Reports.* Contractor will submit progress reports in a format and timeline designated by the State's Project Manager.

4 **Liability**

[Note: the following clause is the "standard" liability clause, an alternative liability clause may have been agreed to as part of the Statement of Work, in which case the liability clause offered by a vendor should have been part of the selection criteria. The contract must include a liability clause, either the standard clause or an approved alternate. Contact Contract Management if you have questions about whether to use the standard clause or an alternative]

The Contractor must indemnify, save and hold the State, its agents, and employees harmless from any claims or causes of action, including attorney's fees incurred by the State, arising from the performance of this Work Order by the Contractor or the Contractor's agents or employees. This clause will not be construed to bar any legal remedies the Contractor may have for the State's failure to fulfill its obligations under this Work Order.

5 **Foreign Outsourcing**

The Contractor agrees that the disclosures and certifications made in its Location of Service Disclosure and Certification Form submitted with its proposal are true, accurate and incorporated into this work order contract by reference.

6 **Authorized Representatives**

6.1 **State's Authorized Representative.** State's Authorized Representative will be:

NAME, TITLE
ADDRESS
TELEPHONE NUMBER
FAX NUMBER
E-MAIL ADDRESS

State's Authorized Representative or his /her successor, will monitor Contractor's performance and has the authority to accept or reject the services provided under this Work Order.

6.2 **State's Project Manager.** State's Project Manager will be:

NAME, TITLE
ADDRESS
TELEPHONE NUMBER
FAX NUMBER
E-MAIL ADDRESS

State's Project Manager, or his/her successor, has the responsibility to monitor Contractor's performance and progress.

State's Project Manager will sign progress reports, review billing statements, make recommendations to State's Authorized Representative for acceptance of Contractor's good or services and make recommendations to State's Authorized Representative for certification for payment of each Invoice submitted for payment.

6.3 **Contractor's Authorized Representative.** Contractor's Authorized Representative will be:

NAME, TITLE
ADDRESS
TELEPHONE NUMBER
FAX NUMBER
E-MAIL ADDRESS

If Contractor's Authorized Representative changes at any time during this contract, Contractor must immediately notify State.

6.4 **Contractor's Key Personnel.** Contractor's Key Personnel will be:

(names, titles)

Key Personnel assigned to this project cannot be changed without the written approval of the State's Project Manager. Contractor will submit a change request in writing to the State's Project Manager along with a resume for each potential candidate. Potential new or additional personnel may be required to participate in an interview. Upon approval of new or additional personnel, the State's Authorized Representative may issue a change order to add or delete key personnel.

7 Time

The Contractor must comply with all the time requirements described in this Work Order. In the performance of this Work Order, time is of the essence.

8 Employee Status

Pursuant to the Governor's Executive Order 08-01, if this contract, including any extension options, is or could be in excess of \$50,000, Contractor certifies that it and its subcontractors:

- 8.2** Comply with the Immigration Reform and Control Act of 1986 (U.S.C. 1101 et. seq.) in relation to all employees performing work in the United States and do not knowingly employ persons in violation of United States immigrations laws; and
- 8.3** By the date of the performance of services under this contract, Contractor and all its subcontractors have implemented or are in the process of implementing the E-Verify program for all newly hired employees in the United States who will perform work on behalf of the State of Minnesota.

Contractor must obtain certifications of compliance with this section from all subcontractors who will participate in the performance of this contract. Subcontractor certifications must be maintained by Contractor and made available to the state upon request. If Contractor or its subcontractors are not in compliance with 1 or 2 above or have not begun or implemented the E-Verify program for all newly hired employees performing work under the contract, the state reserves the right to determine what action it may take including but not limited to, canceling the contract and suspending or debaring the contractor from state purchasing.

9 Additional Provisions

[Use this space to add information not covered elsewhere in this Work Order. If not needed, delete this section or state "None". The following should be used in any Work Order that includes web design:

The Contractor will comply with the "Minnesota Office of Enterprise Technology: Web Design Guidelines" available at the URL: <http://www.state.mn.us/portal/mn/jsp/content.do?programid=536911233&id=-536891917&agency=OETweb>.

The balance of this page has been intentionally left blank.