State of Maine
RFP / Proposal Master Score Sheet

Instructions: *Complete the Master Score Sheet below providing all of the requested information for each bidder that submitted a proposal in response to the RFP. This document is to be included in the Selection Package submitted to the Division of Procurement Services for review/approval.*

SCORESHEET FOR RFP# 201903049: Marijuana Seed-to-Sale Tracking System									
PROPOSAL SUBMITTED BY:		**BioMauris**		**BioTrack THC**		**Dauntless**		**Visual Vault**	
COST:		**Cost:**	**$1,029,750**	**Cost:**	**$275,000**	**Cost:**	**$2,250,000**	**Cost:**	**$1,839,000**
EVALUATION ITEM	**POINTS AVAIL.**								
Section I: Organization Qualifications and Experience	**30**	**20**		**25**		**13**		**15**	
Section II: Proposed Services	**40**	**30**		**35**		**25**		**15**	
Section III: Cost Proposal	**30**	**6.68**		**30**		**7.06**		**3.74**	
- Submitted Cost	*25*	*(6.68)*		*(25)*		*(3.06)*		*(3.74)*	
- Industry Costs	*5*	*(0)*		*(5)*		*(4)*		*(0)*	
TOTAL	**100**	**56.68**		**90**		**45.06**		**33.74**	
PROPOSAL SUBMITTED BY:		**Metrc**		**MJ Freeway**					
COST:		**Cost:**	**$540,000**	**Cost:**	**$784,559**				
EVALUATION ITEM	**POINTS AVAIL.**								
Section I: Organization Qualifications and Experience	**30**	**28**		**10**					
Section II: Proposed Services	**40**	**25**		**15**					
Section III: Cost Proposal	**30**	**16.73**		**9.76**					
- Submitted Cost	*25*	*(12.73)*		*(8.76)*					
- Industry Costs	*5*	*(4)*		*(1)*					
TOTAL	**100**	**69.73**		**34.76**					

Rev. 2/7/2019

STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE
AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

4/30/2019

VIA ELECTRONIC MAIL: eemerson@biomauris.com

BioMauris LLC
Erik Emerson, President
543 NW York DR. Suite #120
Bend, OR 97703

SUBJECT: Notice of Conditional Contract Award under RFP # 201903049, Marijuana Seed-to-Sale Tracking System

Dear Mr. Emerson:

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Administrative and Financial Services for Marijuana Seed-to-Sale Tracking System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

- Bio-Tech Medical Software, Inc. dba BioTrackTHC

The bidder listed above received the evaluation team's highest ranking. The Department will be contacting the aforementioned bidder soon to negotiate a contract. As provided in the RFP, the Notice of Conditional Contract Award is subject to execution of a written contract and, as a result, this Notice does NOT constitute the formation of a contract between the Department and the apparent successful vendor. The vendor shall not acquire any legal or equitable rights relative to the contract services until a contract containing terms and conditions acceptable to the Department is executed. The Department further reserves the right to cancel this Notice of Conditional Contract Award at any time prior to the execution of a written contract.

As stated in the RFP, following announcement of this award decision, all submissions in response to the RFP are considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA). 1 M.R.S. §§ 401 et seq.; 5 M.R.S. § 1825-B (6).

This award decision is conditioned upon final approval by the State Procurement Review Committee and the successful negotiation of a contract. A Statement of Appeal Rights has been provided with this letter; see below.

Thank you for your interest in doing business with the State of Maine.

Sincerely,

Erik Gundersen
Director, Office of Marijuana Policy

STATEMENT OF APPEAL RIGHTS

Any person aggrieved by an award decision may request an appeal hearing. The request must be made to the Director of the Bureau of General Services, in writing, within 15 days of notification of the contract award as provided in 5 M.R.S. § 1825-E (2) and the Rules of the Department of Administrative and Financial Services, Bureau of General Services, Division of Purchases, Chapter 120, § (2) (2).

STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE
AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

4/30/2019

VIA ELECTRONIC MAIL: Todd.caldwell@mjfreeway.com

MJ Freeway LLC
Todd Caldwell, Director of Regulatory Systems
1601 Apapahoe St Suite 900
Denver, CO 80202

SUBJECT: Notice of Conditional Contract Award under RFP # 201903049, Marijuana Seed-to-Sale Tracking System

Dear Mr. Caldwell:

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Administrative and Financial Services for Marijuana Seed-to-Sale Tracking System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Sincerely,

Erik Gundersen
Director, Office of Marijuana Policy

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STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE
AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

4/30/2019

VIA ELECTRONIC MAIL: Ernie.francise@metrc.com

Metrc LLC
Ernest Francise, CFO
4151 S. Pipkin Road
Lakeland, FL 33811-1425

SUBJECT: Notice of Conditional Contract Award under RFP # 201903049, Marijuana Seed-to-Sale Tracking System

Dear Mr. Francise:

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Administrative and Financial Services for Marijuana Seed-to-Sale Tracking System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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This award decision is conditioned upon final approval by the State Procurement Review Committee and the successful negotiation of a contract. A Statement of Appeal Rights has been provided with this letter; see below.

Thank you for your interest in doing business with the State of Maine.

Sincerely,

Erik Gundersen
Director, Office of Marijuana Policy

STATEMENT OF APPEAL RIGHTS

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STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE
AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

4/30/2019

VIA ELECTRONIC MAIL: business@dauntlessinc.com

Dauntless, Inc.
Clark Musser, CEO
8355 165th Ave NE
Redmond, WA 98052

SUBJECT: Notice of Conditional Contract Award under RFP # 201903049, Marijuana Seed-to-Sale Tracking System

Dear Mr. Musser:

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Administrative and Financial Services for Marijuana Seed-to-Sale Tracking System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Sincerely,

Erik Gundersen
Director, Office of Marijuana Policy

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STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE
AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

4/30/2019

VIA ELECTRONIC MAIL: steve.pendleton@visualvault.com

GRM Information Management Services, Inc / VisualVault
Steve Pendleton, Managing Director
2050 E. ASU Circle, Suite 103
Tempe, AZ 85284

SUBJECT: Notice of Conditional Contract Award under RFP # 201903049, Marijuana Seed-to-Sale Tracking System

Dear Mr. Pendleton:

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Administrative and Financial Services for Marijuana Seed-to-Sale Tracking System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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This award decision is conditioned upon final approval by the State Procurement Review Committee and the successful negotiation of a contract. A Statement of Appeal Rights has been provided with this letter; see below.

Thank you for your interest in doing business with the State of Maine.

Sincerely,

Erik Gundersen
Director, Office of Marijuana Policy

STATEMENT OF APPEAL RIGHTS

Any person aggrieved by an award decision may request an appeal hearing. The request must be made to the Director of the Bureau of General Services, in writing, within 15 days of notification of the contract award as provided in 5 M.R.S. § 1825-E (2) and the Rules of the Department of Administrative and Financial Services, Bureau of General Services, Division of Purchases, Chapter 120, § (2) (2).

STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE
AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

4/30/2019

VIA ELECTRONIC MAIL: Cody.Stiffler@BioTrackTHC.com

Bio-Tech Medical Software, Inc. dba BioTrackTHC
Cody Stiffler, VP of Government Affairs and Procurement
6750 North Andrews Avenue #325
Fort Lauderdale, FL 33309

SUBJECT: Notice of Conditional Contract Award under RFP # 201903049, Marijuana Seed-to-Sale Tracking System

Dear Mr. Stiffler:

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Administrative and Financial Services for Marijuana Seed-to-Sale Tracking System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

- Bio-Tech Medical Software, Inc. dba BioTrackTHC

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This award decision is conditioned upon final approval by the State Procurement Review Committee and the successful negotiation of a contract. A Statement of Appeal Rights has been provided with this letter; see below.

Thank you for your interest in doing business with the State of Maine.

Sincerely,

Erik Gundersen
Director, Office of Marijuana Policy

STATEMENT OF APPEAL RIGHTS

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STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: BioMauris
DATE: 4/26/2019

****

Instructions: *The purpose of this form is to record all evaluation notes and scoring that is obtained through consensus discussions among the full evaluation team for this Request for Proposals (RFP) process. The RFP Coordinator or Lead Evaluator should complete this form and maintain the only copy. This form should reflect the full team's consensus evaluations, and this form is* ***not*** *meant to take the place of individual evaluation notes, which are still required from each member of the evaluation team. A separate form is available for individual evaluation notes. Please submit a copy of this document to the Division of Procurement Services as part of your contract award selection documents.*

DEPARTMENT NAME: Department of Professional and Administrative Services
NAME OF RFP COORDINATOR: John Spier
NAMES OF EVALUATORS: Scott Lever, John Baker, Brigid Palmer
NAMES OF CONSULTANTS: Bill Lent, Lusine Tshagharyan

****

SUMMARY PAGE

		Points Awarded:
Numerical Score:		
Section I. Organization Qualifications and Experience	(Max: 30 Points)	**20**
Section II. Proposed Services	(Max: 40 Points)	**30**
Section III: Cost Proposal	(Max: 30 Points)	**6.68**
TOTAL POINTS	(Max: 100 Points)	**56.68**

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: BioMauris
DATE: 4/26/2019

****

EVALUATION OF SECTION I
Organization Qualifications and Experience

Total Points Available: 30 **Score: 20**

****

Evaluation Team Comments:

1. Overview of the Organization • Origins in inventory tracking in pharmaceutical products which is a highly regulated industry • Experience working with Iowa Dept of Public Health since 2018 for medical marijuana in most fields, but not in cultivation or storefronts • Utilize SalesForce which is modular and easily adaptable/used all over • Have worked with Oregon on POS system • Integrated with Google Maps for tracking transfers • No dates given on the pharmaceutical tracking or hemp tracking projects • Hemp tracking does not seem to start at seed, only handles finished products
2. Subcontractors • Flok Consulting primary partner for technical services to BioMauris
3. Org Chart • Provided org chart • Does not specify positions or position titles corresponding to job responsibilities
4. Litigation • No litigation reported
5. Financial Viability • Provided D&B Comprehensive Report, not Comprehensive Insight Plus Report as requested in RFP • Many indicators show moderate to high risk compared to all business within D&B database • Less than 5 years of business reported
6. Licensure/Certifications • Reported no licenses or certification required
7. Certificate of Insurance • Provided adequate certificate of insurance
8. Conflicts of Interest • No reported conflicts of interest

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: BioMauris
DATE: 4/26/2019

****

EVALUATION OF SECTION II
Proposed Services

Total Points Available: 40 **Score: 30**

****

Evaluation Team Comments:

1. Services to be Provided
   A. Deliverables
      - Manual entry or 3rd party needed
      - Experience in inventory tracking and reconciliation of physical vs system recorded inventory
      - No office in Maine, so would have to hire/train people for training which takes time
      - Seemed to look at training for down the road, rather than as an immediate concern
      - "Unlimited support" – say they have never had a client need to contact SalesForce directly
      - SalesForce is known to be easy to use and very secure
      - Appears that their middleware software would be able to integrate with State systems
      - Some confusion over "Designated Contacts" and their support
      - Unclear on how the support system will work and whether it will need to be built

   B. System Requirements
      - Ability to calculate/tie tax info, not clear if this is from SalesForce or from a different system
      - Seems BioMauris has no control over system upgrades, it is all on SalesForce
      - Track and trace technology looks very good; however, it is unclear how unique identifiers are generated and how physical labels are created and tied to those identifiers
      - Mobile transfer app is impressive
      - System seems to meet all requirements of the RFP with additional functionality including a POS system
      - Transfer tracking utilizes Google Maps
      - System has the ability to prevent sales transactions based on age, not a medical patient, or sales caps
      - Security has a dual login and seems very good
      - Triggers and alerts is robust and beneficial to both State and licensees
      - Reporting capabilities of SalesForce are robust and exportable to other programs

   C. Business & Technical Requirements
      - See #2 below

   D. Standards & Performance Measures
      - Seems to meet or exceed all requirements of the RFP

2. Business and Technical Requirements
   - Processes that don't currently exist
   - Excel and CSV formats for exporting are native to system, but say other formats can be used as well
   - Transfer records may require customization, but appears to be doable, however it is unclear whether or not that functionality is tied to Hyena POS system
   - The solution is currently integrated with multiple cannabis POS systems in other states and can be integrated with any 3rd party system that has an API
   - Levels of access and system administrator functionality seems strong

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: BioMauris
DATE: 4/26/2019

3. Implementation – Work Plan
    - Due to the out of the box nature of this solution, there is limited concern about the implementation timeline
    - 5.5 month implementation plan

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: BioMauris
DATE: 4/26/2019

****

EVALUATION OF SECTION III
Cost Proposal
Price: Comparison with Lowest Bid

Total Points Available: 30 **Score: 6.68**

Lowest submitted Cost Proposal	÷	Cost Proposal being scored	x	Score Weight	=	Score
$275,000	÷	$1,029,750	x	25 points	=	6.68

Industry Costs Consensus Evaluation	Maximum Points	Score
	5	0

Evaluation Team Comments:

- Concern over whether tracking label system is included in the proposal -Clarifying Question
- Bidder didn't seem to list end user/industry specific costs
- Unclear what proposed tagging/labeling system being proposed is

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Bio-Tech Medical Software, Inc dba BioTrackTHC
DATE: 4/26/2019

****

Instructions: *The purpose of this form is to record all evaluation notes and scoring that is obtained through consensus discussions among the full evaluation team for this Request for Proposals (RFP) process. The RFP Coordinator or Lead Evaluator should complete this form and maintain the only copy. This form should reflect the full team's consensus evaluations, and this form is* ***not*** *meant to take the place of individual evaluation notes, which are still required from each member of the evaluation team. A separate form is available for individual evaluation notes. Please submit a copy of this document to the Division of Procurement Services as part of your contract award selection documents.*

DEPARTMENT NAME: Department of Professional and Administrative Services
NAME OF RFP COORDINATOR: John Spier
NAMES OF EVALUATORS: Scott Lever, John Baker, Brigid Palmer
NAMES OF CONSULTANTS: Bill Lent, Lusine Tshagharyan

****

SUMMARY PAGE

		Points Awarded:
Numerical Score:		
Section I. Organization Qualifications and Experience	(Max: 30 Points)	**25**
Section II. Proposed Services	(Max: 40 Points)	**35**
Section III: Cost Proposal	(Max: 30 Points)	**30**
TOTAL POINTS	(Max: 100 Points)	**90**

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Bio-Tech Medical Software, Inc dba BioTrackTHC
DATE: 4/26/2019

****

EVALUATION OF SECTION I
Organization Qualifications and Experience

Total Points Available: 30 **Score: 25**

****

Evaluation Team Comments:

1. Overview of the Organization • 7 years of seed to sale tracking for private sector, 5 years for government agencies • Origins in the prescription drug tracking systems, specifically helping government and law enforcement • SOC 2 Type 1 is completed, SOC2 Type 2 is scheduled • 3 COTS custom solutions for state recognized businesses, government systems, over medical and recreational • Deployed to 10 government programs with no instances of data loss • Originally deployed in Washington State in 2013 on budget and on schedule in less than 100 days • Uses bar code labeling system rather than RFID • Illinois project for medical only deployed in 75 days, required interfacing with 5 state agencies • Since Launching Illinois Project in October 2015, have done 50 significant modifications and worked outside scope to launch Opioid Alternative Pilot Program which allows Illinois to provide same say approval to prescribe Marijuana in place of opioids for pain relief • Delaware Medical Marijuana system has been able to find cases of fraud
2. Subcontractors • No subcontractors reported
3. Org Chart • Org chart submitted • Includes names and titles of State of Maine project participants • Appears Helix TCS is parent company
4. Litigation • One listed litigation involving BioTrackTHC challenging an RFP award in 2015 • One listed case where a complaint was brought against them and settled in arbitration
5. Financial Viability • Moderate to low risk in all categories of D&B report
6. Licensure/Certifications • As of writing the RFP they have submitted application to Secretary of State to do business in Maine • List many licenses and certificates and audits completed, including SOC2
7. Certificate of Insurance • Certificate provided and seems adequate
8. Conflicts of Interest • No conflicts of interest are reported

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Bio-Tech Medical Software, Inc dba BioTrackTHC
DATE: 4/26/2019

****

EVALUATION OF SECTION II
Proposed Services

Total Points Available: 40 **Score: 35**

****

Evaluation Team Comments:

1. Services to be Provided
   A. Deliverables
      - Provided examples of print-ready tags and QR codes which is a good feature
      - Comes with anti-counterfeiting and security protections
      - If licensee chooses not to buy barcode scanners, it is not required for this system
      - Scalability, customization and configuration don't appear to be issues
      - Performance and security seem to be impressive
      - Amazon's AWS Gov cloud system
      - 24/7 365 availability of support for Tier 1
      - Disaster recovery, audits look good
      - Role-based user access at all levels for the industry and government looks like a good functionality,
      - AWS Gov Cloud has the ability to do background checks
      - Able to integrate with a variety of government systems and variety of Seed to Sale software
      - Uses SalesForce desk ticketing system to manage support communication
   B. System Requirements
      - Bidder did not differentiate between deliverables, system requirements or standards & performance measures, however system requirements were discussed in services to be provided section
   C. Business & Technical Requirements
      - See #2 Below
   D. Standards & Performance Measures
      - Bidder did not differentiate between deliverables, system requirements or standards & performance measures, however standards & performance measures were discussed in implementation section and services to be provided section
2. Business and Technical Requirements
   - All requirements were marked as existing
   - Detailed explanations were provided for all requirements and all needed functionality seems to be present
3. Implementation – Work Plan
   - Follow hybrid methodology
   - Staffing plan with tasks assigned is included and directly tied to draft schedule
   - 4.5 month implementation

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Bio-Tech Medical Software, Inc dba BioTrackTHC
DATE: 4/26/2019

****

EVALUATION OF SECTION III
Cost Proposal
Price: Comparison with Lowest Bid

Total Points Available: 30 **Score: 30**

****

Lowest submitted Cost Proposal	÷	Cost Proposal being scored	x	Score Weight	=	Score
$275,000	÷	$275,000	x	25 points	=	25

Industry Costs Consensus Evaluation	Maximum Points	Score
	5	5

Evaluation Team Comments:

- May include a charge for personnel cost related to changes in the system
- Straightforward cost model

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Dauntless, Inc.
DATE: 4/26/2019

****

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NAME OF RFP COORDINATOR: John Spier
NAMES OF EVALUATORS: Scott Lever, John Baker, Brigid Palmer
NAMES OF CONSULTANTS: Bill Lent, Lusine Tshagharyan

****

SUMMARY PAGE

		Points Awarded:
Numerical Score:		
Section I. Organization Qualifications and Experience	(Max: 30 Points)	**13**
Section II. Proposed Services	(Max: 40 Points)	**25**
Section III: Cost Proposal	(Max: 30 Points)	**7.06**
TOTAL POINTS	(Max: 100 Points)	**45.06**

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Dauntless, Inc.
DATE: 4/26/2019

****

EVALUATION OF SECTION I
Organization Qualifications and Experience

Total Points Available: 30 **Score: 13**

****

Evaluation Team Comments:

1. Overview of the Organization • No previous experience with government, however extensive experience with the Marijuana industry • Current platform can connect to any of the 9 entity types in the Marijuana industry • Extensive bios on their C-Suite team, which seems impressive • Many examples of customer satisfaction, seem to be meeting customer needs • Third project example is a list of 9 different clients they have worked with, • GIANT Industry Platform seems to include 3 different traceability products: TraceWeed, Korona, and Soro
2. Subcontractors • DemandLink has over 30 years of combined experience in demand planning and intermittent goods • COMBASE USA Inc. has over 25 years' experience developing enterprise quality software solutions
3. Org Chart • Provided org chart • C-Suite members tie back to their descriptions, but State of Maine specific do not have names, only titles and job descriptions
4. Litigation • No litigation reported
5. Financial Viability • D&B shows moderate to high risks in several categories • Company size is small, less than 5 years under current ownership
6. Licensure/Certifications • No reported licensure or certification
7. Certificate of Insurance • Does not show any commercial general liability insurance
8. Conflicts of Interest • No conflicts of interest reported

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Dauntless, Inc.
DATE: 4/26/2019

****

EVALUATION OF SECTION II
Proposed Services

Total Points Available: 40 **Score: 25**

****

Evaluation Team Comments:

1. Services to be Provided
   A. Deliverables
      - GIANT has a rules engine which is good
      - End of project will provide system config document showing how everything was configured and how to configure things down the road
      - Industry training seems well developed
      - Provide dedicated email accounts and twitter feeds, periodic webinar and online training and web forum
      - 24/7 support coverage will be put in place
      - Unsure if disaster recovery plan exists, or would need to be created
      - Project management will be based out of an office in the State of Maine for the duration of the project

   B. System Requirements
      - GIANT system for State of Maine will be a fully independent instance
      - Optional NFC/RFID functionality exists
      - Token ID system says it purges all personal info, so how would we know who was attempting to purchase more than their limit?

   C. Business & Technical Requirements
      - See #2 Below

   D. Standards & Performance Measures
      - Working toward SOC2 Type 2 audit, will have a plan of action to address deficiencies
      - Accessibility wording is vague
      - Other standards and performance measures appear to be met

2. Business and Technical Requirements
   - It appears to create compliance reports for the State, bidder will have to rely heavily on DemandLink
   - Seem strong on the retail side
   - Appears that from and administrative standpoint people can be made active/inactive through a permission-based system, which is good
   - Thorough responses to all business and technical requirements

3. Implementation – Work Plan
   - Fully deployed in just under 7 months
   - Designate when they will do a variety of trainings
   - Concerns that final customization for the State is listed as an almost 6 month process

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Dauntless, Inc.
DATE: 4/26/2019

****

EVALUATION OF SECTION III
Cost Proposal
Price: Comparison with Lowest Bid

Total Points Available: 30 **Score: 7.06**

****

Lowest submitted Cost Proposal	÷	Cost Proposal being scored	x	Score Weight	=	Score
$275,000	÷	$2,250,000	x	25 points	=	3.06

Industry Costs Consensus Evaluation	Maximum Points	Score
	5	4

Evaluation Team Comments:

- Talking about NFC and RFID optional systems, but cost goes to industry cost
- Label fees are straightforward but more expensive than similar model proposed

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Metrc
DATE: 4/26/2019

****

Instructions: *The purpose of this form is to record all evaluation notes and scoring that is obtained through consensus discussions among the full evaluation team for this Request for Proposals (RFP) process. The RFP Coordinator or Lead Evaluator should complete this form and maintain the only copy. This form should reflect the full team's consensus evaluations, and this form is* ***not*** *meant to take the place of individual evaluation notes, which are still required from each member of the evaluation team. A separate form is available for individual evaluation notes. Please submit a copy of this document to the Division of Procurement Services as part of your contract award selection documents.*

DEPARTMENT NAME: Department of Professional and Administrative Services
NAME OF RFP COORDINATOR: John Spier
NAMES OF EVALUATORS: Scott Lever, John Baker, Brigid Palmer
NAMES OF CONSULTANTS: Bill Lent, Lusine Tshagharyan

****

SUMMARY PAGE

		Points Awarded:
Numerical Score:		
Section I. Organization Qualifications and Experience	(Max: 30 Points)	**28**
Section II. Proposed Services	(Max: 40 Points)	**25**
Section III: Cost Proposal	(Max: 30 Points)	**16.73**
TOTAL POINTS	(Max: 100 Points)	**69.73**

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Metrc
DATE: 4/26/2019

****

EVALUATION OF SECTION I
Organization Qualifications and Experience

Total Points Available: 30 **Score: 28**

****

Evaluation Team Comments:

1. Overview of the Organization • Operating in Colorado since 2011 • Currently providing seed to sale services in 12 other states for adult use and medical • Every project has been on time and on budget and have never failed to renew a contract or had a contract terminated early • Integrated over 100 POS systems for Medical • Rapid development and implementation in under 120 days if needed, and has implemented full scale solutions in states in under 90 days • Consistently met more than 90% of requirements for state governments out of the box • Solution empowers regulators, tax agencies and law enforcement with real time transparency of the supply chain • All 3 listed projects are directly related to the solution OMP is requesting • Metrc's Cannabis Tracking System includes the use of RFID identifiers integrated in the Metrc software
2. Subcontractors • No subcontractors are required
3. Org Chart • Org chart provided with positions identified by title and job description
4. Litigation • No litigation reported
5. Financial Viability • Comprehensive report was not formatted like normal D&B report • Scored moderate to low risk in most categories on D&B
6. Licensure/Certifications • Reported no licensure or certifications
7. Certificate of Insurance • Provided certificate of insurance that appears to be adequate
8. Conflicts of Interest • Disclosed Lewis Koski's dual relationship with Freedman & Koski Inc. Metrc does not believe that Lewis Koski's role in rulemaking and his position as COO of Metrc creates any conflict legally or ethically • Metrc and other employees do not report any other current conflicts

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Metrc
DATE: 4/26/2019

****

EVALUATION OF SECTION II
Proposed Services

Total Points Available: 40 **Score: 25**

****

Evaluation Team Comments:

1. Services to be Provided A. Deliverables • Not Provided by Bidder B. System Requirements • Not Provided by Bidder C. Business & Technical Requirements • See #2 Below D. Standards & Performance Measures • Not Provided by Bidder
2. Business and Technical Requirements • No reference to SOC2 Type 2 audit, however multiple layers of security are described • All requirements are existing functionality • Not multi-tenant hosted • Encrypted radio frequency ID tag for each plant and unit tied to a licensee • Trademarked unique identifier Hex-ID • Transport manifest process and forms are very well developed • Reporting can be done in required formats • Purchase restriction capability available • Searchability feature adds ease of use
3. Implementation – Work Plan • Not Provided by Bidder

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: Metrc
DATE: 4/26/2019

****

EVALUATION OF SECTION III
Cost Proposal
Price: Comparison with Lowest Bid

Total Points Available: 30 **Score: 16.73**

Lowest submitted Cost Proposal	÷	Cost Proposal being scored	x	Score Weight	=	Score
$275,000	÷	$540,000	x	25 points	=	12.73

Industry Costs Consensus Evaluation	Maximum Points	Score
	5	4

Evaluation Team Comments:

- Ease of use seems to outweigh cost, however only proposal with monthly subscription costs in addition to tag costs

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: MJ Freeway
DATE: 4/26/2019

****

Instructions: *The purpose of this form is to record all evaluation notes and scoring that is obtained through consensus discussions among the full evaluation team for this Request for Proposals (RFP) process. The RFP Coordinator or Lead Evaluator should complete this form and maintain the only copy. This form should reflect the full team's consensus evaluations, and this form is* ***not*** *meant to take the place of individual evaluation notes, which are still required from each member of the evaluation team. A separate form is available for individual evaluation notes. Please submit a copy of this document to the Division of Procurement Services as part of your contract award selection documents.*

DEPARTMENT NAME: Department of Professional and Administrative Services
NAME OF RFP COORDINATOR: John Spier
NAMES OF EVALUATORS: Scott Lever, John Baker, Brigid Palmer
NAMES OF CONSULTANTS: Bill Lent, Lusine Tshagharyan

****

SUMMARY PAGE

		Points Awarded:
Numerical Score:		
Section I. Organization Qualifications and Experience	(Max: 30 Points)	**10**
Section II. Proposed Services	(Max: 40 Points)	**15**
Section III: Cost Proposal	(Max: 30 Points)	**9.76**
TOTAL POINTS	(Max: 100 Points)	**34.76**

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: MJ Freeway
DATE: 4/26/2019

****

EVALUATION OF SECTION I
Organization Qualifications and Experience

Total Points Available: 30 **Score: 10**

****

Evaluation Team Comments:

1. Overview of the Organization • Only listed 2 projects out of the required 3, both were medical marijuana for State government • Claiming to serve 30% of all Marijuana businesses in the United States • Offering Bluetooth and RFID technologies • Providing POS, traceability and medical registration for 30 locations and 100,000 patients in Pennsylvania • Were able to convert 3 years of data from a prior tracking system • Providing services for all marijuana licensees operating in Washington State
2. Subcontractors • No subcontractors reported
3. Org Chart • Org chart provided, but hard to read due to size • Talk about roles for the project, including title and description, but not names of people working on it or their positions in the org chart
4. Litigation • One pending case suing someone for attacking their system which seems to be tied to their insurance claim for a data security incident • Multiple insurance claims were listed, some tied to data breaches and data recovery issues
5. Financial Viability • Moderate to high risk for many categories • Seem to have provided D&B comprehensive report, not Comprehensive Insight report
6. Licensure/Certifications • Host on SOC, and agree to deliver SOC2 Type 2 by the agreed upon date • Meet compliance for AWS Gov Cloud
7. Certificate of Insurance • Commercial Liability Insurance says June 1st 2018-2019, but policy number states TBD
8. Conflicts of Interest • No conflicts of Interest reported

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: MJ Freeway
DATE: 4/26/2019

****

EVALUATION OF SECTION II
Proposed Services

Total Points Available: 40 **Score: 15**

****

Evaluation Team Comments:

1. Services to be Provided
   A. Deliverables
      - Promises scope of work to include list of deliverables in the original RFP, no details on how they will be accomplished
      - Bullets in Deliverable section of RFP were listed in proposal as being done without explanation of how

   B. System Requirements
      - Bidder agreed to provide system requirements according to RFP without further explanation

   C. Business & Technical Requirements
      - See #2 Below

   D. Standards & Performance Measures
      - Bidder agrees to work with the State to show compliance with Standards and Performance Measures without further explanation
      - Bidder will submit schedule on how they propose to deliver SOC2 type 2 prior to Jan 1st, 2020
      - Bidder will submit to security scans without detailing how information is secure

2. Business and Technical Requirements
   - Bidder reported existing functionality on listed requirements
   - Central Inventory Management System appears adequate
   - Offer three methods for data exchange
   - Custom developed testing API that has been widely adopted by testing facilities in several states
   - Data input validation functioning looks good
   - Reporting functionality appears good
   - Unclear if State would have the ability to prevent a testing facility from making new entries if their license was expired or revoked

3. Implementation – Work Plan
   - 5 month, 3 week implementation plan
   - Implementation work plan does not include M&O phase

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: MJ Freeway
DATE: 4/26/2019

****

EVALUATION OF SECTION III
Cost Proposal
Price: Comparison with Lowest Bid

Total Points Available: 30 **Score: 9.76**

****

Lowest submitted Cost Proposal	÷	Cost Proposal being scored	x	Score Weight	=	Score
$275,000	÷	**$784,559**	x	**25 points**	=	**8.76**

Industry Costs Consensus Evaluation	Maximum Points	Score
	5	**1**

Evaluation Team Comments:

- Addresses Bluetooth/RFID technologies
- Subscription seems unclear and excessive
- Tag cost is clear

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: GRM Information Management Services, Inc. / VisualVault
DATE: 4/26/2019

****

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DEPARTMENT NAME: Department of Professional and Administrative Services
NAME OF RFP COORDINATOR: John Spier
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NAMES OF CONSULTANTS: Bill Lent, Lusine Tshagharyan

****

SUMMARY PAGE

		Points Awarded:
Numerical Score:		
Section I. Organization Qualifications and Experience	(Max: 30 Points)	**15**
Section II. Proposed Services	(Max: 40 Points)	**15**
Section III: Cost Proposal	(Max: 30 Points)	**3.74**
TOTAL POINTS	(Max: 100 Points)	**33.74**

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: GRM Information Management Services, Inc. / VisualVault
DATE: 4/26/2019

****

EVALUATION OF SECTION I
Organization Qualifications and Experience

Total Points Available: 30 **Score: 15**

****

Evaluation Team Comments:

1. Overview of the Organization • Lots of experience in process automation • Many years in service • Didn't provide in the 3 projects any examples of work with Marijuana in general, let alone seed to sale tracking • Recently selected to create Marijuana registry system in Vermont, but did not provide as one of the completed projects
2. Subcontractors • Good experience with subcontractor ProCom • Clear division of responsibilities
3. Org Chart • Didn't provide full org charts for VisualVault or ProCom • Provided org chart for this project, identifying personnel and job positions
4. Litigation • Reported no current litigation pending in any form • Does not address closed cases within the past 5 years as requested
5. Financial Viability • Provided D&B report on GRM Information Services, of which VisualVault is a wholly owned subsidiary • Doesn't appear to be any financial concerns for GRM Information Services
6. Licensure/Certifications • Can provide upon request SOC2 Type 2 • Can provide upon request HIPAA Type 1
7. Certificate of Insurance • Certificate of Insurance provided and appears to be adequate
8. Conflicts of Interest • GRM Information Services reported no known conflicts of interest

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: GRM Information Management Services, Inc. / VisualVault
DATE: 4/26/2019

****

EVALUATION OF SECTION II
Proposed Services

Total Points Available: 40 **Score: 15**

****

Evaluation Team Comments:

1. Services to be Provided
   A. Deliverables
      - Proposing only business hour support M-F 8-5
      - Seem to understand how they would implement the system
      - Didn't give detail to how they would incorporate specific policies regarding OIT/OMP
      - Didn't give any specifics on plant tracking and unique identifiers
      - Most of the system would have to be customized and configured as it appears that they don't have an off-the-shelf seed to sale tracking system, which raises concerns about meeting the timelines
      - Project phases chart was detailed
      - Description of fee collection seems generic and not specific at all
      - Gave generic answer about meeting standards and performance measures
   B. System Requirements
      - Answer to most requirements seemed to be to use iForms
      - Don't get into specifics of how their system will accomplish many of the given requirements
      - Limited information about how they will accomplish Marijuana specifically will be handled
      - A lot of the responses say they can do it, but don't explain how they will do it
   C. Business & Technical Requirements
      - See below
   D. Standards & Performance Measures
      - East and West Coast
      - Seem to meet all expectations of RFP

2. Business and Technical Requirements
   - All categories listed as "existing" but unclear as to whether or not functionality/requirements currently exist directly relating to Marijuana seed to sale tracking
   - Discrepancy between listing all requirements as existing and earlier statement that over 95% of all OMP functionality will be created using configuration
   - Appears that all these iForms would need to be created, unclear how the system would operate and tie all these iForms into a workflow

3. Implementation – Work Plan
   - Due to the amount of configuration and customization needs building from the ground up, it's questionable that 2 months would be enough time to achieve the business analysis/requirements gathering and implementation sections of the project timeline
   - 6 month implementation plan

STATE OF MAINE
TEAM CONSENSUS EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed to Sale Tracking
BIDDER: GRM Information Management Services, Inc. / VisualVault
DATE: 4/26/2019

****

EVALUATION OF SECTION III
Cost Proposal
Price: Comparison with Lowest Bid

Total Points Available: 30 **Score: 3.74**

****

Lowest submitted Cost Proposal	÷	Cost Proposal being scored	x	Score Weight	=	Score
$275,000	÷	$1,839,000	x	25 points	=	3.74

Industry Costs Consensus Evaluation	Maximum Points	Score
	5	0

Evaluation Team Comments:

- Premium support (24/7, 365 services) is an extra cost
- No Industry Charges, unclear what proposed tagging/labeling system being proposed is

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Metrc LLC
DATE: 4/17/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

P1

***

Instructions: *The purpose of this form is to record proposal review notes written by* ***individual*** *evaluators for this Request for Proposals (RFP) process. It is* ***required*** *that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

***

Individual Evaluator Comments:

Organizational Q+E

- P System used in 12 states + DC, medical + adult use
- P Experience in related systems + states
- P 90% functional requirements out of the box
- P Fast - RAD development
- P Solid staff
- P RFID
- P Colorado - successful / fully reliable } P
- P Ohio "
- P Oregon "
- P Strong training
- P Strong support
- P Robust track + trace
- P 30 years supply chain tracking - people work in/with states

(projects: Colorado, Ohio, Oregon)

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Metrc LLC
DATE: 4/17/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

p2

****

Instructions: *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

****

Individual Evaluator Comments:

Proposed Services

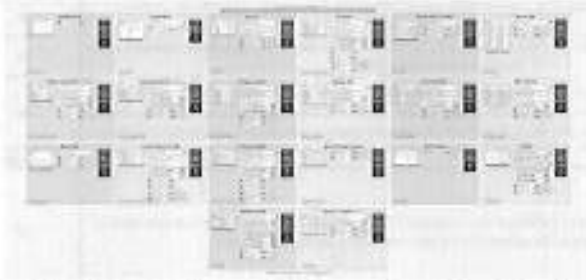
All responses from table are 'P's'

No proposal beyond that for review.

	Marijuana Seed to Sale Tracking System Requirement	Mandatory / Desirable	E	CO	CU	Explanation
A.	Central Inventory Management System:					
1	Proposed System provides a central data management system capable of storing inventory and transaction data for all Marijuana Establishment Licensees in State of Maine.	M	X			Metrc is a central data management system capable of storing inventory and transaction data for all Marijuana Establishment Licensees in State of Maine. Metrc is where all the legal licensed businesses report cannabis supply chain activities to their specific license, via data entry or upload (API or excel) and the state regulatory agency is able to view transactions posted in real time. The state will have a dashboard for the entire state and then individual dashboards per licensee in which to view posted transactions. Detail data is available via drill down reports, screens, reports, dashboards, notification and a host of other formats.
2	The system assigns a globally unique, non-repeating identification number for every plant and inventory item recorded in the system.	M	X			Metrc assigns a non-repeating, globally unique Hex-ID identifier for each plant and each distinct property unit (plant, quantity, and product). This is done by the issuance of an encrypted radio frequency ID (RFID) tag to eligible licensees for every plant or unit.
3	The system assigns the identifier to prevent duplication of identifiers by licensees, providing for reliable traceability.	M	X			Metrc assigns the identifier to prevent duplication of identifiers by licensees, providing for reliable traceability. Metrc has developed a globally unique identifier called Hex-ID™ (Hex-ID). A Metrc cryptologist developed this five-dimensional cypher which we assign to each traceable item. Each unique item is tied to agenealogy that enables Metrc to tie and trace each prodigy number to a single parent number. Additional, hexadecimal-based, numbering – Additional, hexadecimal-based, numbering that provides more than one quintillion permutations to support globally unique tagging codes. Associate and Retain Codes in the Metrc Database – Writing all the authentication association data direct from the tag provisioning process securely in real-time to the encrypted Metrc database provides an additional level of security to frustrate nefarious activities of all kinds involving the unique identifier.
4	The system is capable of using US customary and metric units for data entry, tracking and reporting.	M	X			Metrc is capable of this functionality.
B.	Web Application Interface:					
1	The system provides a secure web-based user interface for data entry, display, and reporting by Marijuana Establishments licensed in State of Maine.	M	X			Metrc's web user interface provides a secure web based user interface for data entry, display, and reporting by Marijuana Establishments licensed in State of Maine. It serves as the main conduit to accessing and reporting data. Access is gained through the web interface or through the RESTful API interface using an authorized cannabis business software application. The functionality associated with the reporting of events by the Licensee is necessary for the effective execution of the statutorily required oversight by the Department, and to meet the robust system defined standards of the federal guidelines.
2	The system provides a secure user interface for OMP employees for user and system administration, and retrieval and tracking of inventory and transaction data.	M	X			Metrc's web user interface provides a secure user interface for OMP employees to conduct system administration, and retrieval and tracking of inventory and transaction data. The regulatory Metrc functionality includes administration, configuration, analytics, inspection, rules-based notifications, recalls, and enforcement of the solution. These functional Metrc based processes demonstrate that most of the work accomplished through regulatory effort is reactive to events reported by licensees.
C.	Data Exchange/Interface:					
1	Provides secure connections for data exchange to and from ALMS.	M	X			Metrc provides secure connections for data exchange. This is accomplished via a web service that supports generic RESTful integration with regulatory solutions. The quickest and most efficient manner of transmitting data is through this RESTful API. Data transmitted through this interface receives immediate format and data validity feedback from Metrc.
2	Provides secure connections for data exchange to and from OMP data warehouse.	M	X			Metrc provides secure connections for data exchange. This is accomplished via a web service that supports generic RESTful integration with regulatory solutions. The quickest and most efficient manner of transmitting data is through this RESTful API. Data transmitted through this interface receives immediate format and data validity feedback from Metrc.
3	System includes web services, uses XML based open standards.	M	X			Metrc is a W3C web services-compliant system. The Metrc web services are created using C#, HTML5, RESTful methodology, and JSON.
4	Provides secure web service API for integration of 3rd party information systems.	M	X			Metrc provides secure web service API for integration of 3rd party information systems. Team Metrc has a well established program for working with Agency authorized cannabis business software application developers. This effort assists the vendors in developing proper integration to Metrc's public API. This program has enabled third-party vendors that include point of sale systems, grow management systems, laboratory systems, and other data systems to interface with the Metrc solution. This program supports vendors in building public APIs by providing predefined bi-directional communication to authorized cannabis business software applications (e.g., point of sale systems) used by licensees. The API provides access to every aspect of a licensee's data, and virtually all actions that can be performed via the solution's web user interface. All API endpoints are secured via dual API keys. One is an authorized cannabis business software application API key (vendor API key), and the other is a user API key. Connections for data exchange are accomplished via a web service that supports generic RESTful integration with regulatory solutions. The quickest and most efficient manner of transmitting data is through this RESTful API.
5	Provides validation and alerts/notifications for validation checks on Licensee data submitted through data interface.	M	X			The system can provide validation and alerts/notifications for validation checks on Licensee data submitted through data interface. These alerts/notifications can be setup based on the states needs during configuration, for licensee data, whether uploaded through data interface or entered manually.
D.	Reports:					
1	Proposed system has the ability to download and search datasets and create reports based on certain criteria, this includes both predefined and ad hoc reports.	M	X			Metrc has the ability to download and search datasets and create reports based on certain criteria, including both predefined and ad hoc reports. The ability to print reports is implemented in the Application Process Layer as standard reports. These reports were designed using MS Report Viewer, and are available in standard industry formats such as PDF, MS Excel, MS Word, and CSV. A dashboard of reports are made available to the user. Ad hoc reporting is made available through a DB query tool and grid filtering. A state user with the proper permissions may run reports or query's on any data point in Metrc, including a function that allows the user to print.
2	Proposed system provides the ability to a user with appropriate user permissions to build queries, retrieve data and produce reports based on defined criteria.	M	X			Metrc provides the state with the ability to run ad-hoc reports via the Metrc database query function. State users may define and create their own custom reports using SQL queries, interactively explore the resulting data set and export the data to PDF or Excel. Metrc will provide information tables to sort and query and run reports. Metrc will give Database Query access to the designated State agency personnel, for flexible reporting and queries.
3	Generated reports can be exported to Excel, CSV, TXT, Word and PDF formats.	M	X			Metrc solution reports can be exported or downloaded in Microsoft (MS) Word, MS Excel, and file formats such as CSV or PDF.
E.	Inventory Tracking Data Points:					
1	Proposed System allows via user interface or automated data interface input of Licensee data for all types of marijuana establishments. For each inventory transaction listed below the following information will be recorded: tag or label ID and the date and time of the transaction.	M	X			The licensee of all types may choose the method of data entry, via direct data input or by utilizing a Restful Json API and/or .CSV upload. Metrc's web user interface is where the user's interactions take place. It serves as the main conduit to accessing and auditioning data. Access is gained through the web interface or through the RESTful API interface using an authorized cannabis business software application. Additionally, Metrc records the tag ID and the date/time for all transaction reported into the system.
2	View/Search. Proposed System includes search functionality to allow users to search for inventory items by entering a set of search criteria parameters and display the results in tabular form.	M	X			A searchable tabbed grid organizes reported data throughout Metrc (such as licensees, manifests, employees, patients, plant additives, package trace, lab results, and so on) by both the industry and by the state enforcement.

3	***Receive Inventory.*** System will include functionality to allow input, tracking, reporting, and storage of information about marijuana or marijuana products received at Licensee facilities from other Licensees. Data input may include, but is not limited to, the following fields: Receipt Date, Received By, Source Licensee Name, Source License Number, Order Number, Items shipped and/or received information including but not limited to Product ID, Product Name, Batch Number, Weight, and Quantity.	M	X			Metrc provides a complete and thorough transfer manifesting process, which allows the input, tracking, reporting, and storage about the marijuana/products. Licensees may only transfer to other allowable licensees/labs that are authorized in the Metrc system. Receipt date, by, source license, order number, item information, weights shipped and received (reporting differences upon receipt if necessary) is all available in Metrc. All transfers are created, viewed, and received in the system. Inventory is moved from one licensee to another in the system to maintain the chain of custody. Included in the manifest are: ship from name, license number and route description; destination address, destination name, license number, address; and shipment product description, product ID, batch number, quantity, units of measure, including gross and net weights.
4	***Add/Edit Location.*** System will allow input of user-defined inventory locations within an organization, including but not limited to: cultivation room, harvesting room, curing room, packaging area, storage area, and retail area.	M	X			The user adds locations (such as rooms, shelves, locations inside a facility) in the admin function of "room setup." These are defined by the licensee, and easily edited to match the actual facility layout and processes.
5	***Add/Edit Product Type.*** System will allow input of product types. Inputs may include fields including but not limited to: product name, product type, product ID, and units of measure.	M	X			The state will set up legal allowable categories, which the licensee will then be approved to create and set up their own "items" or "products" in their admin functions. Categories would be represented by "flower, bud, concentrate, edibles, ingestible, topicals, etc.) A product created could be "Mary's Magical Hand Cream, 6oz"... flexible to meet the state rules and regulations. This is easily updated or edited by either the state (categories) and/or the industry licensee (items).
6	***Create the Work Order/Product Batch.*** System will allow for products to be composited/processed into new products. Inputs must have sufficient information so that they can be traced back to their origin.	M	X			Product that come from harvests and are manufactured into "a new form," will be identified through the process. A chain of custody retains the end product which is traceable back to the origin plant. The intermediate product stage, can be identified both forward and traced backwards through the supply chain, in the event of a recall or any other reason to do a package trace.
7	***Internal Transfers.*** System will allow input of inventory transfers between locations within licensee's premises.	M	X			Internal transfers are allowed and easily entered in the transfer manifesting.
8	***Dispose Inventory.*** System must allow input of inventory adjustments, such as disposal, waste, theft, failure to grow or seizure by law enforcement. System must automatically notify OMP every time an entry like this is made into the system.	M	X			There are methods of inventory and plant destruction, package adjustments, waste, disposal, seizure and "on holds" for inventory. Adjustments and waste require "reasons" to be entered by the licensee. The administrative holds may be placed by the state employees. Metrc can place a specific notification from the Metrc rules engine to notify the OMP on any desired adjustment reason.
9	***Transfer to another Licensee.*** System will allow input of inventory transfers between Licensees.	M	X			Transfers are made by completing a transfer manifest, the licensee list will drop down so that another license may be selected while entering the transfer information. The system allows these transfers.
10						***Testing.***
10.1	The System must be able to record transfers of samples to a licensed testing facility. Input may include fields including but not limited to: date of transfer, transferred by, source license number, testing facility name, testing facility license number, OMP agent name, product ID, product name, lot and/or batch number, and quantity. Test results for any Batch must be accessible by OMP and the Licensee. The System must allow OMP and Licensees to search, upload, and download test results in PDF, Excel and/or other document formats.	M	X			There are methods of inventory and plant destruction, package adjustments, waste, disposal, seizure and "on holds" for inventory. Adjustments and waste require "reasons" to be entered by the licensee. The administrative holds may also be placed by the state employees. Metrc can place a specific notification from the Metrc rules engine to notify the OMP on any desired adjustment reason.
10.2	The System must have the ability to prevent a testing facility from making any new entries if the license information indicates that the testing facility's license or certification has expired or has been revoked.	M	X			The integration of the licensing systems to the Metrc solution will allow the state to suspend a licensee so that no further entries may be made. Metrc will update the licensing status periodically throughout the day, in 15 minute intervals for changes. This is subject to connectivity with the state licensing system and the capability to provide this data in the require time frame.
10.3	The System must be configurable to include different test fields and testing methods, so that the testing facilities are able to enter their results against each test type. The system must have the ability to prevent the testing facility from entering results for a certain test type, if their certification has been revoked for that specific test field.	D	X			The state will configure the testing types, including the testing requirements per product type. These may be easily updated and edited by the state directly into the system. The testing facility will only be allowed to enter test results for those types of tests that the state has granted them access to enter.
11	***Trip Tickets.*** System will provide functionality for medical and adult use marijuana establishments to create trip ticket documents. Trip tickets will be stored and tracked by the System. Input data may include, but is not limited to: ship from name, license number and route description. For each item include destination address, destination name, license number, address, product description, product ID and batch number, quantity and units of measure, departure time and arrival time. Trip tickets will be used as shipping documents for transfers between locations within an organization or sales between Licensees.	M	X			The system creates a "trip ticket" via the transfer manifest, which is printable from the entry screen. These trip tickets are stored in the system and include shipper, license number, route, destination, name, license number, address, product unique id, batch number, quantity and UOM, departure/arrival times. These are used to move from one license to another and to the testing lab.
						

12	***Retail Sales Transaction Data:*** Licensee retail sales transaction data must include but is not limited to: time and date of sale, license number, order number, sales items, price and quantities. For medical marijuana and medical marijuana products sales transaction data must also include the qualifying patient ID number. Transaction data must include unique transactions for sales, refunds, voids, adjustments, etc.	M	X			The Metrc Licensee retail sales transaction data includes but is not limited to: time and date of sale, license number, order number, sales items, price and quantities. Metrc sales transaction data does include unique transactions for sales, refunds, voids, adjustments, etc. In Metrc sales transaction data is reported by Package Tag ID and for medical is associated to a Patient ID. It is important to understand what a package means in Metrc. The package is a serialized unit. That means every package will need to be accounted for in terms of what happens to the contents. The package's primary purpose is to enforce a secure chain of custody. The package is similar in concept to a "Lot". For example, a package can be made up of many smaller sellable units. As each one of the smaller individual units is sold, the individual sale can be recorded or a summarized total for each package size be reported. The association of a serialized package to a sellable item might be a new concept to you and your system. For integrity during the chain of custody, it is necessary to track each uniquely and individually identified package all the way to its final selling event. To associate your sales to the packages in Metrc, you have three choices to report your sales. You can manually enter your sales into Metrc, you can create or export a CSV file and import that into Metrc, or you can work with your POS System to report via the API. All sales must be recorded in Metrc for all products specified by your state. Typically this is all products containing marijuana, however your state may require other products to be recorded as well.
13	***Taxes:*** System will allow Licensees to generate excise tax reports for the purpose of satisfying reporting requirements to OMP.	M	X			The licensees may run either a sales report, a package sales report or a wholesale transfer report to show their sales thereby computing their excise taxes.
14	***Inventory Seizure:*** Proposed System provides functionality to allow OMP System Users to indicate inventory items have been seized by OMP.	M	X			The OMP System Users may search and view the "on hold" packages and product and plants, that have been seized by the OMP, by licensee and across the state. Seized items are shown in red in the systems and marked as on hold, visible to both the state and licensees.
15	***Samples:*** System must have the ability to track samples of Marijuana and/or Marijuana Products between Licensees. Input may include, but is not limited to, the following fields: date of transfer, transferred by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity.	M	X			Metrc has the ability to track samples of Marijuana and/or Marijuana Products between Licensees. Input fields include, but is not limited to, the following fields: date of transfer, transferred by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity. Samples sent between licenses are tracked with a package tag, and a transfer manifest; just like a product transfer shipment, with the dates and details of the transfer as identified in this requirement. Samples can be tracked back to the source.
F.	**Cultivation Facility Inventory Tracking Requirements:**					
1	All cultivation of Marijuana will be performed at a Licensed Cultivation Facility. System will allow data input of inventory transaction information via user interface or automated interface.	M	X			**Plants:** This is where, in Metrc, the cultivation life cycle is captured in a set of events based on growth phases and plant location. The licensee assigns a tag to the plant and records the plant's movement, additions (such as pesticides) and progress through growth phases until harvest. This information can be entered directly via the User Interface entry screens or via the API and/or .CSV upload. The process of harvest is also captured in the cultivation, recording the harvest, waste, weights, water loss and trimmings. **Packages:** Two types of packages exist in Metrc. These are the original package created from a harvest and repack packages. The repack package is flexible enough to give the licensee the ability to record any configuration of new package that exist in the market place. Exposes the industry application processes functionality via secure API to allow third party solution providers to become certified on the Metrc industry API.
2	Proposed System allows tracking of clones and seedlings by count. Variety until moved to the immature plant growth step, where the plants are then assigned a Unique Plant Identifier.	M	X			Clones, seeds, seedlings, tissue cultures are tracked by "count" in batches by strain. Once the plant is viable, it will receive a unique identifier (plant tag) which will tie back to the immature batch and go forward to the harvest batch and eventually to the end product (whether through manufacturing process or not).
3	The System will allow the addition of plant inventory items. Inputs may include, but are not limited to, the following fields: strain, plant ID, status in production cycle, date, and added by. In addition, an attribute will be provided to allow indication of whether the plant is a seedling, clone, or mother plant.	M	X			Metrc allows the addition of plant inventory items. Input fields include, but are not limited to, plant ID, status in production cycle, date, and added by. In addition, Metrc provides for the indication of whether the plant is a seedling, clone, or mother plant.
4	Proposed System will allow tracking of marijuana plants through growth stages: clones/seedlings, immature plants, flowering mature plants.	M	X			All of the various stages are visible to the state and data is entered for all of the various growing stages.
5	The System will track transfer of plant inventory between growth stages and locations. Data input may include but is not limited to: transfer date, transfer to location, order number, list of plants transferred.	M	X			The tracking of the marijuana plants between stages and rooms in the facility is visible to the state, in real time. The Metrc input fields include but are not limited to: transfer date, transfer to location, order number, list of plants transferred.
6	Proposed System allows tracking of the daily application of fertilizers, pesticides, and any other compounds and/or products applied to each individual plant.	M	X			Additives are tracked through the additive process screens, which can be tracked by plant or room application type and the type of additive which was applied, these are date stamped.
7	Proposed System allows tracking of marijuana harvesting and processing of plant products including, but not limited to: harvesting, batches, drying/curing stage, packaging, and storage.	M	X			Tracking of the marijuana harvesting and processing of the plant product is followed through the harvesting in batches, the drying/curing stage and then into packages (tagged with a shipment level tag - not a unpack individual level) and the package tags will identify the product from the harvest is stored. The waste during harvest is also identified. The trim that may be manufactured should be packaged up and sent from harvest to the manufacturer.
8	Harvested plant material will be weighed at each stage of the harvesting and processing of plant products. Producers may weigh plants wet or dry/cured. Data input may include fields including, but not limited to: strain, product name, product type, product ID, lot number, Unique Plant Identifier, quantity yielded, and units of measure.	M	X			Metrc allows the user to enter the wet weight of the plant and the user will be permitted to name the harvest batch as (strain + date). The system will record but not limited to: strain, product name, product type, product ID, lot number, Unique Plant Identifier, quantity yielded, and units of measure. Once the product is dried and cured as the user packages up the product, it will be placed in packages in the system, simultaneously entering the dried package weight in the harvest batch and in the package, the package will hold the product ID and this will be the lot number. The unique plant identifier (plant tag ID's) will be stored under the harvest batch name for full visibility and the corresponding lot package ID's. The quantity and units of measure are stored both in the harvest batch area and the package for easier traceability.
9	System will track packaging of harvested Marijuana. Data may include, but is not limited to the following fields: strain, product name, product type, product ID, lot number, Unique Plant Identifier, net package weight and units of measure.	M	X			Packages created from harvested marijuana will include the strain, product name, type, ID, lot, Unique ID, net package weight and UOM with time and date stamps.
10	Producers may package and sell Marijuana on a wet or dry basis. To facilitate the tracing of product inputs back to their origin, the inventory of each package will be tracked by the Product ID and a Batch Number. Data may include but is not limited to: strain, product name, package ID, Unique Plant Identifier for each plant included in the Lot, weight and other units of measure.	M	X			Marijuana can be packaged wet or dry in the system. Whole wet plants are able to be packaged up with a package tag. If the state allows wet marijuana sales, then that would be a configured category. The origin of the inventory is going to be traceable back to the plant ID and batch number. All of these requirements are met and the data includes but is not limited to: strain, product name, package ID, Unique Plant Identifier for each plant included in the Lot, weight and other units of measure.
G.	**Manufacturing Facility Inventory Tracking Data Requirements:**					
1	Product Manufacturers will process, package, and label Marijuana and Marijuana Products for sale to Marijuana Retail Stores and other marijuana establishments. Marijuana Products contain Marijuana or Marijuana extracts and are intended for human use including but not limited to edible products and non-edible products. System will allow via user interface or automated data interface input of inventory transaction information.	M	X			The product manufacturers will be able to enter their information by various means. They may upload via .csv, use the API and/or direct data entry.
2	Proposed System tracks processing events, including but not limited to, process and yield in weight or volume, lots and/or portions used to create a batch of extract and individually packaged unit of marijuana, extract batches used to create a batch of marijuana product, and total yield of batch.	M	X			The system tracks all the processes events, recording date, time and the person reporting. This means that each time the marijuana changes form (plant to dry flower to concentrate and even to edible, for example) the unique identifiers travel with the product created and the marijuana ingredients included.

3	Proposed System tracks marijuana disposal including the following data fields: usable plant material, net weight and units of measure for all plant material, extract, and marijuana product, and reason for disposal. This should trigger an automated notification to OMP.	M	X			The disposal of usable plant material and the reasons are all captured in the waste and disposal areas, including a reason. Metrc tracks the following data fields: usable plant material, net weight and units of measure for all plant material, extract, and marijuana product, and reason for disposal. Metrc allows for an automated triggered notification to OMP.
II.	Retail Store Inventory Tracking Requirements:					
1	Retail Stores will sell Marijuana, Marijuana Products in retail stores to persons twenty-one (21) years of age and older. System will allow via user interface or automated data interface input of inventory transaction information.	M	X			The retail stores can report into Metrc all the transactions and verifications, either manually, by .CSV or by using the API. – Exposes the industry application processes functionality via secure API to allow third-party solution providers to become certified on the Metrc Industry API
2	For registered qualifying patients of Medical Marijuana Program, the system will allow entry and validation of the patient's registration number	M	X			Metrc will allow the entry of a Patient ID or registration number and for the stores to verify the patient is qualified. In certain states, Metrc interfaces with patient registry and purchase system limits, which are both available if the state desires.
I.	Audit/Investigation Reporting:					
1	The System will provide robust ad-hoc and pre-defined reporting functionality for OMP to determine compliance with Maine statutes and rules for Medical and Adult Use marijuana.	M	X			The state has a dashboard with multiple pre-defined reports, which can be downloaded to .csv, word, excel and .pdf. Each inquiry screen can also be reported on. An additional Adhoc SQL Reporting Tool allowing user to build custom queries is availble. Access to this tool is controlled by Metrc's user management and roles.
						
2	The System must be able to collect and summarize in report format, data for various read/entry points in the processing of Marijuana products.	M	X			In Metrc all data read/entry points in the processing of Marijuana products are viewable, searchable and may be generated into a report. The drill down capability and the dashboards provide instant individual licensee data or state-wide data easily and quickly.
3	The reporting functionality must be capable of reporting of tracking and transaction information through the entire chain of custody.	M	X			The entire chain of custody is reportable, from immature clone to sale of product (the end of the supply chain).
4	The reporting functionality must provide the ability to analyze data and cross reference among different stages of marijuana grow cycle within vertically integrated marijuana establishments, as well as among different types of marijuana establishments.	M	X			The state has visibility across all licensed business activity, lab reports, recalls, supply chain, employees, and trends in the legal marijuana market. The dashboard for the state shows metrics that are in real time.
5	The reporting functionality will be capable of reporting over all database tables and fields within the System.	M	X			Metrc will provide information tables to sort and query and run reports. Metrc will give Database Query access to the designated State agency personnel, for flexible reporting and queries over all database tables and fields within the System.
6	The reporting functionality will allow OMP to define new reports and edit as needed without assistance or ongoing support from the Awarded Contractor.	M	X			Metrc provides the state with the ability to run ad-hoc reports via the Metrc database query function. State users may define and create their own custom reports using SQL queries, interactively explore the resulting data set and export the data to PDF or Excel.
7	The System will provide functionality to export report data to variety of formats including but not limited to: Microsoft Excel, .csv, text.	M	X			Metrc allows reports and inquiries to be downloaded as excel, word, pdf, .csv, and text.
J.	System User Access:					
1	The System must be configurable to provide appropriate levels of user access, permissions and visibility based on user groups/roles, such as Department system users and industry licensees.	M	X			Metrc supports custom State User Role definition by the state admin. Each User Role can have as little as one permission and as many as full permissions. These defined roles can then be assigned to new and existing users and are configurable to provide appropriate levels of user access, permissions and visibility based on user groups/roles, such as Department system users and industry licensees.
2	The System must be equipped with internal software security to avert unauthorized access to functionality and data.	M	X			The production site is engineered as a managed site. Metrc engineers configure and maintain the site. The Vendor provides the physical facility and a general infrastructure base on tier 1 communications backbone. Behind the firewall is a Intrusion Detection System (IDS) to manage unauthorized access attempts. The OS is equipped with internal software security to avert unauthorized access to functionality and data.
3	The Department administrative users will have the ability to register through system functionality.	M	X			After the state identifies an "admin" user, that user can then add state administrative users by credentialing in through the admin functions of Metrc, without further vendor support.
4	The administrative level permissions for Licensee administrators will be limited to granting access to employees only for that licensee establishment.	M	X			Metrc provides the licensee administrators with the ability to limit granting access to employees only for that licensee establishment. Licensee administrators can define permissions based on user type or individually expressed permissions. In addition, the administrator or authorized user may choose to add individual roles and/or read-only access to other areas.
5	Proposed System will provide the ability to Licensee administrators to control employee access and visibility to types of activities and functions in the system.	M	X			Licensee administrators can define permissions based on user type or individually expressed permissions. In addition, the administrator or authorized user may choose to add individual roles and/or read only access to other areas.
6	Proposed System must be configurable to control access level to reporting functionality based on user group/role.	M	X			Reporting functionality can be controlled through granted permissions, based on roles and user groups, by the admin.
7	Proposed System must be configurable to control level of access to licensee data.	M	X			The system is configurable to control the access to licensee data, based on the permissions granted.
K.	**Audit Trail:** The System will provide full audit trail of all updates made to application data. The audit log will include date of change, user, type of change and original and changed values.	M	X			Audit notifications can be created and provided to any number of users identified by the State. Notifications are set by the state, and can be changed at any time. These notifications will have delivery methods (text, email, etc.) as determined by the state admin. Metrc's audit logs include date of change, user, type of change and original and changed values.
L.	**Data Storage Requirement:** The selected vendor will store all system data and reports. The data hosted and stored by the contractor is sole ownership of State of Maine. The vendor must provide all data to the Department upon request.	M	X			Agreed. All storage of data at rest is located within the United States and is sole ownership of State of Maine. Metrc will provide all data to the Department upon request.
M.	Service continuity/Reliability:					
1	Proposed System is fully operational and will remain operational at least 99.95% of the time 24 hours p/day, 7 days p/week.	M	X			Metrc will remain operational at least 99.95% of the time 24 hours p/day, 7 days p/week.

2	The selected contractor must provide technical service contact information for reporting problems, such as outages and connectivity issues.	M	X			Metric will provide technical service contact information for reporting problems, such as outages and connectivity issues. The standard Metric® Service Level Agreement contains the following: 1. A test environment configured identically to the production environment that will remain operational throughout the term of the Contract and any extensions to be used by the state for testing and training. 2. All servers, virtual machines, firewall, and load balancer are HIPAA compliant. 3. 99.9% guaranteed network uptime. 4. Notifications to the state of any required hardware replacement. 5. Database failover. 6. Site failover and replication. 7. Server failover. 8. One-day recovery time objective (24 hours max downtime). 9. 24/7 database and application availability monitoring. 10. In the event of an alert, notification of the issue and response shall be immediately provided to the state. 11. 15 minute recovery point objective. 12. Full backups on Fridays and incremental backups on all the other days of the week for non-database data. 13. Full database backups nightly. 14. Differential database backups every 2 hours. 15. Database transaction logs every 15 minutes. 16. Use of SQL Server Log Shipping to send the data to the remote site. Data will be automatically loaded into the disaster recovery database. Two running copies of the database will run full time at both sites. The disaster recovery site will be 15 minutes behind at most. The backups will be stored on RAID 5 in Texas and Illinois. 17. Identification of all server and application service dependencies, including ports and protocols (in a format approved by the state). 18. Identification of underlying storage configuration (RAID group design for servers). 19. List of all software versions and updates at the time of transition. 20. Hypervisor tool for migrating VMs from the hosting environment to the state infrastructure will be VMware compatible. 21. Hosting Services shall support secure socket layer (SSL) communication over the Internet.
3	The selected contractor must provide assistance to Licensees, ALMS, OMP staff and data warehouse in resolving connectivity and download/upload issues.	M	X			Metric provides the assistance directly to the Licensees, ALMS, OMP staff and data warehouse in resolving any technical issues.
N.	**Data Upload Requirements:**					
1	Proposed system allows users to verify and correct uploaded data before posting to the System.	M	X			Users may upload data in many ways, via data entry or API/CSV Imports. Corrections made can be at any time before and/or after uploaded or direct entry.
2	Proposed system allows users to correct posted information.	M	X			The system allows it through raise corrections, package adjustments, editing of transfers, as well as, discontinuing of packages and harvest batches. Some corrections must be made within 48 hour window.
3	Proposed system allows users to manually enter data into input screens, as an alternative to uploading data.	M	X			No uploading of any data is required in any function of the Metric system, the user may manually enter all data, if desired.
O.	**Data Download Requirements:**					
1	Proposed System allows for the downloading of predefined and ad-hoc reports determined by OMP.	M	X			Reports may be downloaded by any user in word, excel, pdf, text, .csv for the predefined reports, the inquiry screens and using database sql queries.
2	System downloads will be transmitted over an encrypted secure connection.	M	X			All web communication is done over HTTPS secured with TLS 1.2 and 1.3, and using a certificate of no less than 4096 bits. Full encryption is achieved by having encryption in transit at all times, as well as encryption at rest.
P.	**System Alerts:** Proposed System allows OMP to manage alerts and notifications, defining tolerance levels and selecting recipients.	M	X			Audit notifications can be created and provided to any number of users identified by the State. Notifications are set by the state, and can be changed at any time. These notifications will have delivery methods (text, email, etc.) as determined by the state admin.
Q.	**Data Retention Policy:** Data collected by the System must be available for a period of seven (7) years. Upon retention period completion data must be archived to permanent storage before it gets removed from the system.	M	X			Agreed, the data will be available for a period of 7 years, or as determined by the state.
R.	**Disaster Recovery:** Proposed System has a disaster recovery plan which includes off-site backups and System restoration within twenty-four (24) hours.	M	X			Metric will provide a Business Cont. and Disaster Recovery document as part of the Project Management, including restoration times as required. Each Agency has one Web server and one Database server, load balancing is not needed. The primary use of this site during daily operations is Log Shipping ("LS"). According to Wikipedia, "Log shipping is the process of automating the backup of a database and transaction log files on a primary (production) database server, and then restoring them onto a standby server". This process happens every 15 minutes.
S.	**Security:**					
1	Proposed System's security model limits licensee's data access and visibility to data collected for that individual licensee and allows OMP to view data for all licensees based on specified search criteria. Encryption occurs both at rest and in flight.	M	X			The data of a licensee is only that data collected for that individual licensee. The industry is not able to view other licensee data, without explicit permissions and credentialing by that licensee admin. OMP is able to view licensee data based on dashboards, reports and search functions on data points. Full encryption is achieved by having encryption in transit at all times, as well as encryption at rest.
2	Bidder shall provide documentation outlining security controls used to isolate application services and data if proposer's solution operates in a multi-tenant hosted environment.	M	X			Metric does NOT operate in a multi-tenant hosted environment.
3	Bidder shall maintain and make available for review upon request documentation regarding physical security controls, logical security controls, asset controls and human resource controls.	M	X			Reports are available to the state regarding physical security controls, logical security controls, asset controls, and human resource controls. Metric employs a multi-layered security architecture. The illustration below illustrates how Metric's multi-layered security architecture, which is designed to protect the Metric solution and its data from hostile and unintended breaches.


Physical Security
Network Security
Authentication & Authorization
Application & Mobile Security
Data Security
Vulnerability Scanning
Security Analytics and Continuous Monitoring

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC
DATE: 4/19/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

P1

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Instructions: *The purpose of this form is to record proposal review notes written by* ***individual*** *evaluators for this Request for Proposals (RFP) process. It is* ***required*** *that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

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Individual Evaluator Comments:

Organizational Q&A

P 750k transactions/month, $50m, 150 gov & business entities
+10B transactions
P PA medical, Washington
→ issue with ... (M)
missed dates, data issues
technical issues
security breaches
(Biotrack did not renew,
Metrc pulled out of bid)

P Agile approach
P Good structure for roles
(M) Financially stressed? credit is
Other categories ok, some good

Projects
P PA - medical - start
Washington - applicable but issues
M Only two projects listed

P No subcontractors

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC   P 2
DATE: 4/19/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

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Instructions: *The purpose of this form is to record proposal review notes written by* ***individual*** *evaluators for this Request for Proposals (RFP) process. It is* ***required*** *that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

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Individual Evaluator Comments:

Proposed Services

P Different tagging options
P Solid Reliability
P Single / Waterfall hybrid
P Unique ID traceability

No SOC 2 type 2 but will work towards   34
P Good on scale
P Hosted on AWS / Azure
P SLAs - good
6 month schedule (MS live in Nov)

M Q RTO? - TBD RPO?

* Architecture - good, but very basic view

Schedule - OK

P Lots of detail in table - see notes (most good)

C. Business and Technical Requirements

Bidders are to complete the "RFP 201903049 B&T Requirements" form, following the instructions provided in PART II, C. of the RFP.

2. Business and Technical Requirements

Desirable requirements are marked with a "D" in the Mandatory/Desirable column.

Acronym Key:

E: Existing Functionality; **CO:** Needs Configuration; **CU:** Needs Customization; **M:** Mandatory; **D:** Desirable

	Marijuana Seed to Sale Tracking System Requirement	M/D	E	CO	CU	Explanation
A.	Central Inventory Management System:					
1	**Proposed System provides a central data management system capable of storing inventory and transaction data for all Marijuana Establishment Licensees in State of Maine.**	M	E			Since 2010, MJ Freeway has designed, developed, deployed, and supported its highly versatile COTS platform as a central data management platform for inventory, point of sale, and other data. MJ Freeway invented seed to sale tracking for marijuana and is patent pending on both the concept and the software methodology. The MJ Freeway development team has consistently demonstrated a high degree of experience and knowledge in efficiently modifying the platform to meet demanding and ever-changing compliance requirements worldwide. MJ Freeway employs an information architecture that enables its developers to quickly and easily create customizations and configuration options. Leaf Data Systems is designed to track every action performed on each plant from its creation (i.e. from seed, clone, or tissue) through any changes of form, transactions, and transportation, all the way to the sale of finished marijuana product. This all-encompassing process is commonly referred to as "seed to sale" tracking, and MJ Freeway is patent pending on that important reference. The purpose of the seed to sale inventory tracking methodology is to track each plant and each gram of marijuana throughout the entire cultivation and distribution cycle: propagation, cultivation, harvest, post-harvest processing, testing, manufacturing, distribution, processing, inventory, and finally the point of sale. Destruction and disposal are also captured. This patent-pending, proprietary tracking methodology provides numerous unique data points,

						including manufacture date and expiration date, throughout the entire product history, ensuring accurate data for managerial and compliance reporting, as well as enabling efficient and accurate product recalls. Throughout the seed to sale process, Maine will have the ability to see all marijuana, in all locations, and in all forms.
2	**The system assigns a globally unique, non-repeating identification number for every plant and inventory item recorded in the system.**	**M**	**E**			Each object in Leaf Data Systems' database, including each plant, product, and inventory item, is assigned a globally unique, non- repeating identification number upon creation within the database table. For users who integrate with Leaf Data Systems through the API, this identifier is included in Leaf Data Systems' API response code so that it can be recorded in the user's inventory tracking systems. Any edits or changes to existing objects in Leaf Data Systems' database requires the inclusion of the unique identifier in order to be considered valid requests. For users who choose to interact with Leaf Data Systems via CSV upload, an export of assigned unique identifiers will be provided following each file upload that creates new objects. Tags bearing the unique ID are attached to every item, including plants, packages, and infused or edible products. Leaf Data Systems supports both RFID and barcode tags.
3	**The system assigns the identifier to prevent duplication of identifiers by licensees, providing for reliable traceability.**	**M**	**E**			Accidental or intentional duplication of identification numbers is prevented by the algorithm that Leaf Data Systems uses to generate the identifiers. The algorithm combines multiple data elements representing the User type, User ID number, item type, and a Base36 unique primary key. The unique identifier that results from this algorithm can be validated in any transaction to ensure that the submitted data matches the item type, User type, and User ID that is expected. Any variation or duplication of unique IDs is flagged in Leaf Data Systems and an alert can be triggered.
4	**The system is capable of using US customary and metric units for data entry, tracking and reporting.**	**M**	**E**			Leaf Data Systems was designed to support both US customary and metric units. While the system is natively metric, it is programmed to convert to US customary units, i.e. ounces and pounds, and fractions of each. Either metric or US customary units may be entered by a user into an input field in Leaf Data Systems.
B.	Web Application Interface:					
1	**The system provides a secure web-based user interface for data entry, display, and reporting by Marijuana Establishments**	**M**	**E**			A secure user interface with access to all functionality of Leaf Data Systems will be provided through an online, secured web portal. This portal will be available to regulatory users. Functionality can be restricted based on user role to ensure that users are only able to access the information and functions relevant to their level of authorization. Authorized users of Leaf Data Systems

	licensed in State of Maine.					with administrative privileges can create accounts within the System for other authorized users. The Leaf Data Systems Administrator can assign the appropriate system access limitations to the individual user. Users with administrative privileges have functionality available to them for user administration, system administration, and display of User inventory information. Security standards apply to all users of the system and are ensured by MJ Freeway's encryption standards as well as the professionally hosted environment.
2	**The system provides a secure user interface for OMP employees for user and system administration, and retrieval and tracking of inventory and transaction data.**	**M**	**E**			A secure user interface with access to all functionality of Leaf Data Systems is provided through an online, secured web portal. This portal will be available to OMP employees for user administration, and system administration, and display of inventory information. Functionality can be restricted based on user role to ensure that users are only able to access the information and functions relevant to their level of authorization.
C.	Data Exchange/Interface:					
1	**Provides secure connections for data exchange to and from ALMS.**	**M**	**E**			Leaf Data Systems can provide three methods to securely interface with the State's Agency License Management System: • RESTful API – This allows for real-time upload of plant data, product inventory tracking data, retail sales transactions, and fee and tax information from users through their integrated business management software. • CSV Upload – This allows for batch upload of plant data, product inventory tracking data, retail sales transactions, and fee and tax information from users. • Data Entry – This allows users to manually enter plant data, product inventory tracking data, retail sales transactions, and fee and tax information through the Leaf Data Systems portal. These three methods of interaction all record data directly into the Leaf Data Systems database. Leaf Data Systems includes robust tools to synchronize data with the users, no matter which of the three methods the state uses for entry.
2	**Provides secure connections for data exchange to and from OMP data warehouse.**	**M**	**E**			Leaf Data Systems can provide the aforementioned three methods to provide a secure interface to and from OMP data warehouse.
3	**System includes web services, uses XML based open standards.**	**M**	**E**			Leaf Data Systems is designed around RESTful web services and supports both XML and JSON open standards in its APIs.
4	**Provides secure web service API for integration of 3rd**	**M**	**E**			MJ Freeway has several web APIs in use, including a custom developed testing API that has been widely adopted by major testing facilities in several states. MJ Freeway has also integrated with APIs sourced from

	party information systems.					third-party providers. Once API documentation for specific APIs required by the State of Maine is made public, MJ Freeway has the resources and expertise necessary to make the seed-to-sale software functional with the third-party software platforms.
5	**Provides validation and alerts/notifications for validation checks on Licensee data submitted through data interface.**	M	E			Leaf Data Systems provides validation and response feedback for submitted data, whether submitted through the API, through CSV upload, or through the data entry portal. These validation checks include: • Ensuring the completion of required data elements; • Validating the format of data submitted; • Validating the completeness of submitted data. If the submitted data fails any one of these validation checks, the submission is rejected, the Licensee receives user-friendly response feedback, and is given the opportunity to correct the error. Only once all data validation checks are passed is submitted data accepted into Leaf Data Systems. These validation and response checks are applied consistently for any of the three methods of data submission into Leaf Data Systems - API, CSV file upload, or manual data entry.
D.	Reports:					
1	**Proposed system has the ability to download and search datasets and create reports based on certain criteria, this includes both predefined and ad hoc reports.**	M	E			Leaf Data Systems includes a business intelligence reporting platform which provides the ability to download and search multiple datasets, including datasets specific to plants, sales, and inventory. The platform contains many predefined, function-specific analytical reports, which can be modified and saved by any authorized user. Reporting is available on all data points within Leaf Data Systems, and reports may be displayed or exported in file formats that include Microsoft Excel, PDF, CSV, HTML, and text. Areas of predefined reports include but are not limited to: • Historical data such as Audit Logs, Batch Logs, Plant History, Inventory Adjustments, Inventory and Plant Area Changes, and Summary by Day • Reports on current data such as Batch Report, Disposals, Harvest Report, Inventory Disbursements & Transfers, Lab Results, Tax Summary, and Sales Summary
2	**Proposed system provides the ability to a user with appropriate user permissions to build queries, retrieve data and produce reports based on defined criteria.**	M	E			The platform also contains a number of predefined, function-specific analytical reports, which can be modified and saved by any user. Users can also create ad hoc analytic reports.

3	**Generated reports can be exported to Excel, CSV, TXT, Word and PDF formats.**	**M**	**E**			Reporting is available on all data points within Leaf Data Systems, and reports may be displayed or exported in file formats that include Microsoft Excel, PDF, CSV, HTML, and text.
E.	Inventory Tracking Data Points:					
1	**Proposed System allows via user interface or automated data interface input of Licensee data for all types of marijuana establishments. For each inventory transaction listed below the following information will be recorded: tag or label ID and the date and time of the transaction.**	**M**	**E**			Search functionality is easily accessible in each area of Leaf Data Systems. In addition, robust filtering on a variety of criteria is available. Search and filtering functionality allow each User to see all or part of their whole operation, such as sales figures, inventory, plant counts, and allows Maine to view individual User data or summary data for all Users. Leaf Data Systems allows users to search for inventory items by several parameters such as strain, unique ID, product name, product type, location, growth phase, quarantine, or other status. This functionality is directly supported through the reporting interface. Results are displayed in tabular form and are also exportable in several common file formats, including XLS, CSV, HTML, and text.
2	***View/Search.* Proposed System includes search functionality to allow users to search for inventory items by entering a set of search criteria parameters and display the results in tabular form.**	**M**	**E**			Search functionality is easily accessible in each area of Leaf Data Systems. In addition, robust filtering on a variety of criteria is available. Search and filtering functionality allow each user to see all or part of their whole operation, such as sales figures, inventory, plant counts, and allows OMP to view individual user data or summary data for all users. Leaf Data Systems allows users to search for inventory items by several parameters such as strain, unique ID, product name, product type, location, growth phase, quarantine, or other status. This functionality is directly supported through the reporting interface. Results are displayed in tabular form and are also exportable in several common file formats, including XLS, CSV, HTML, and text.
3	***Receive Inventory.* System will include functionality to allow input, tracking, reporting, and storage of information about marijuana or marijuana products received at Licensee facilities from other Licensees. Data input may include, but is not limited to, the following fields: Receipt Date,**	**M**	**E**			When receiving inventory from another facility, Licensees are required to weigh, validate, and check in the received inventory based on the trip ticket generated by Leaf Data Systems when the inventory was shipped. Data entered by the source Licensee and the receiving Licensee are compared by Leaf Data Systems. Any discrepancy is flagged and an alert to OMP is generated. Leaf Data Systems collects and tracks all data related to transactions and transport of marijuana between Licensee facilities, including the following: • Source Licensee Data - Name, License Number, Contact Information, Origination Date; • Receiving Licensee Data - Name, License Number, Receiving Person, Receipt Date;

	Received By, Source Licensee Name, Source License Number, Order Number, Items shipped and/or received information; including but not limited to Product ID, Product Name, Batch Number, Weight, and Quantity.					• Additional Details - Unique ID for the Order, Product ID, Product Type, Quantity of Each Product, Lot/Batch information for each product, Associated Weight, Quantity; • Transporter Information - Name and ID # of Licensee agent in charge of the transportation, Method of transport (i.e. car, plane, boat), Vehicle Details including Make, Model, and License or ID #; Signature, Travel Route, Departure Time, and Estimated Arrival Time. This feature is essential to tracking the chain of custody during transfers between Licensee locations. Leaf Data Systems stores this data and provides OMP with visibility into all data related to transactions and transport of marijuana between Licensees, including information by type of business, dates, and current transit status. Alerts can be established for past due deliveries, for example, and can be posted within Leaf Data Systems or can be sent as an email by any OMP staff.
4	***Add/Edit Location.*** **System will allow input of user-defined inventory locations within an organization, including but not limited to: cultivation room, harvesting room, curing room, packaging area, storage area, and retail area.**	**M**	**E**			Leaf Data Systems allows for the input of user defined inventory locations. The physical location of marijuana is tracked at all times, including the transfer of plant inventory between growth stages, as well as the physical location associated with each stage of growth, harvest, or post-harvest.
5	***Add/Edit Product Type.*** **System will allow input of product types. Inputs may include fields including but not limited to: product name, product type, product ID, and units of measure.**	**M**	**E**			Leaf Data systems allows for the input of product types, including strain, extract type, and infused product type. The available options for each of these types are established by OMP, to ensure consistency in data entry and reporting. All products in Leaf Data Systems are identifiable by certain key data elements, such as strain, extract type, product type, and weight. Additionally, products can be identified and filtered in Leaf Data Systems based on additional data elements, including product name, potency, product ID, expiration date, and unit of measure.
6	***Create the Work Order/Product Batch.*** **System will allow for products to be composited/processed into new products. Inputs must have sufficient information**	**M**	**E**			Marijuana processing operations composite various batches of plant material into new products through various methods, including extraction, infusions, packaging, and manufacture of edible products. To ensure that the chain of custody is preserved, all batch and lot information for plant material used in these processes must be captured and a new unique ID for the final processed product must be created. Leaf Data

	so that they can be traced back to their origin.					Systems tracks and stores all batch information for all plant matter used in the manufacturing process, including beginning and ending quantity of plant matter added. Each batch of plant material used in a manufacturing process, whether flower or by-product, is recorded and weighed at the beginning of processing. During the process of extraction, a new extraction batch ID is created, capturing the batch and lot details of all plant matter used in the extraction. Ending quantities are also recorded both by weight and in number of units yielded. An extraction percentage is also calculated by comparing the total input material against the final output concentrate. Alerts can be generated to trigger notifications when this extraction percentage deviates from the standard mean. Leaf Data Systems allows for the generation of edibles and infusions through the same conversion process, allowing for the addition of any other additives or ingredients through the infusion process. Lots of non-medicated products can be tracked as well to ensure overall food safety, for instance with ingredients such as eggs and/or lactose products. These data elements and logic controls allow for the complete visibility of marijuana through its entire life cycle, and through different business workflow operations, ensuring both diversion prevention and product quality. The end result is that for each marijuana infused product, the following information is captured and available for reporting and labeling: • Description of products, including total weight of each marijuana infused product and the amount and batch number of the marijuana in each marijuana infused product; • Number of units yielded from the manufacturing process; • Total amount and batch number in the marijuana infused products; • Name and certificate number of licensees processing the marijuana infused product; • Date when products were created; • Unique ID and lot number; • Product name; • Product type; • Package date; • Expiration date; • Harvest date; • Laboratory test results.

C
Continued

7	***Internal Transfers.*** **System will allow input of inventory transfers between locations within licensee's premises.**	**M**	**E**			There are two types of inventory transfers within a Licensee organization. The first is the transfer of inventory from one physical location in the facility to another. For these transfers, the following information is recorded in Leaf Data Systems: • Originating location; • Destination location; • List of plants or products transferred; • Name/description of product(s); • Unique ID for products(s); • Batch/lot information for products; • Weight or quantity of products. The other type of internal transfer is the transfer of inventory between two different license types held by the same Licensee. For example, transferring harvested product from the cultivation Licensee to the Processing Licensee. These types of transfers within a Licensee organization, including all acquisition and exchange activities of each Licensee operation, is recorded in Leaf Data Systems transfer system from destination to source. In the case of a transfer within a Licensees organization, this includes: • Licensing information for the receiving Licensee; • Name of receiving Licensee; • Licensing information for the destination Licensee; • Name of destination Licensee; • List of products transferred; • Name/description of product(s); • Unique ID for products(s); • Batch/lot information for products; • Weight or quantity of products. With all types of transfers, a record of the receipt is maintained in Leaf Data Systems, including date and time product was sent and received, and which Licensee agents received the products and verified their weights. If the transfer will leave the physical facility of the Licensee, a transportation manifest will be generated. Alerts can be enabled to send notifications to OMP based on certain transport parameters, such as when transports are overdue or the received inventory levels do not match the sent inventory levels. Leaf Data Systems' reporting interface displays high-level details regarding transfers and transports, and the robust reporting capabilities allow OMP to drill down to details at any time.
8	***Dispose Inventory.*** **System must allow input of inventory adjustments, such as disposal, waste, theft, failure to grow or**	**M**	**E**			Licensees are required to record any adjustment or disposal of inventory, including plants, plant waste, or finished inventory. Leaf Data Systems allows Licensees to enter both inventory disposals and adjustments. The adjustment reason is a required element of any inventory adjustment entry. A list of OMP identified reasons for

	seizure by law enforcement. System must automatically notify OMP every time an entry like this is made into the system.					loss is a required field in the adjustment entry in Leaf Data Systems to ensure consistent reporting on inventory adjustment reasons. Leaf Data Systems includes by default the following adjustment types - disposal, wastage, theft or diversion, failure to grow, plant culling, product returns or recalls, and sample provided to another Licensee. The Licensee user, the date/timestamp of every inventory adjustment, plant and product ID, lot or batch number, weight/quantity, and an explanation are also data points that are recorded with each adjustment. Inventory adjustments can be reviewed by OMP users at either the individual licensee level, or in aggregate. Filtering by reason code, date range, and product type is also available. Additionally, alerts are available to provide notification of inventory adjustment entries which exceed defined thresholds. Alerts will show up for OMP users on the Alerts screen and can also be configured to alert via email or text message. Leaf Data Systems incorporates robust functionality for tracking the amount of waste generated in each phase. Licensees record the weight of any discarded plants or plant material and the disposal reason. Leaf Data Systems offers waste traceability information on cultivation, harvest, and processing: during the cultivation process, waste from cuttings can be attributed to the plant from which they were cut; during the harvesting process, waste from the fan leaves and stalks can be attributed to the original plant; during processing, waste from converting the product from the plant to some form of concentrate can be attributed to the batch. Shrinkage and breakage can be recorded during all phases of the product life cycle and attributed to the originating product. Adjustments made during inventory reconciliations are attributable to the individual packages, which are linked to the original harvest batches. Leaf Data Systems includes the ability to characterize waste products, record the precise weight associated with each type of waste, and record the method of disposal, including the Licensee user and the time/date. Leaf Data Systems keeps complete data on the destruction and disposal of marijuana and marijuana products by any Licensee. In Leaf Data Systems reporting for Licensees may be narrowed down by type (dispensary, cultivation, production, or laboratory). Further, the reason for the destruction or disposal event is identified (i.e. expired, dead, diseased, damaged, or cull). Disposal data is also available by product type (plants, plant material, finished product, or test sample). This data is reportable by individual Licensee, and in aggregate across the state. Destruction events trigger a

						flag in the system and alerts can be established for inventory adjustments and destruction. These alerts can be posted within Leaf Data Systems or can be sent as an email alert to any OMP staff.
9	***Transfer to another Licensee.*** **System will allow input of inventory transfers between Licensees.**	**M**	**E**			Inventory transfers between is Licensee, including all acquisition and exchange activities of each Licensee operation, is recorded in Leaf Data Systems transfer system from destination to source. Licensees can select to transfer product only to other licensed facilities of the correct license type. In the case of transferring between Licensees, this includes: • Licensing information for the receiving Licensee; • Name of receiving Licensee; • List of products transferred; • Name/description of product(s); • Unique ID for products(s); • Batch/Lot information for products; • Weight or quantity of products. A record of the receipt is maintained in Leaf Data Systems, including date and time product was sent and received, and which Licensee agents received the products and verified their weights. These details are recorded in Leaf Data Systems, which will allow a transportation manifest to be generated, allowing OMP to view or audit any transfer. Alerts can be enabled to send notifications to OMP based on certain transport parameters, such as when transports are overdue or the received inventory levels do not match the sent inventory levels. Leaf Data Systems' reporting interface displays high-level details regarding transfers and transports, and the robust reporting capabilities allow OMP to drill down to details at any time.
10	***Testing.***					
10.1	**The System must be able to record transfers of samples to a licensed testing facility. Input may include fields including but not limited to: date of transfer, transferred by, source license number, testing facility name, testing facility license number, OMP agent name, product ID, product name, lot and/or batch number,**	**M**	**E**			All samples sent to other Licensees, including testing laboratories, are tracked in Leaf Data Systems. Data about the sample, such as date of transfer, source Licensee and license number, name/type of sample, weight of sample, batch/lot information, and date of harvest are all included with the sample record and remain as part of the record. Each sample sent to another Licensee is accompanied by a trip ticket. Once the sample is received, the received weight is entered to ensure no diversion has occurred. The Licensee that receives the sample tracks the disposal of the sample through Leaf Data Systems. Sample intake vs. waste reports can be used to ensure the chain of custody of each sample.

	and quantity. Test results for any Batch must be accessible by OMP and the Licensee. The System must allow OMP and Licensees to search, upload, and download test results in PDF, Excel and/or other document formats.					Good for first part, doesn't answer this part
10.2	**The System must have the ability to prevent a testing facility from making any new entries if the license information indicates that the testing facility's license or certification has expired or has been revoked.**	**M**	**E**			All testing data that a lab transmits directly to Leaf Data Systems is recorded in a non-editable state, preventing Licensees from modifying the results. Each package/lot of finished marijuana product is automatically quarantined once created and cannot be transferred or further processed until passing results are posted into Leaf Data Systems. Doesn't ensure question
10.3	**The System must be configurable to include different test fields and testing methods, so that the testing facilities are able to enter their results against each test type. The system must have the ability to prevent the testing facility from entering results for a certain test type, if their certification has been revoked for that specific test field.**	**D**	**E**			MJ Freeway employs an information architecture that enables its developers to quickly and easily create customizations and configuration options.
11	***Trip Tickets.* System will provide functionality for medical and adult use marijuana establishments to create trip ticket documents. Trip tickets will be stored and tracked by the System. Input data may include, but is not**	**M**	**E**			When inventory is being transferred outside of the Licensee facility, it must be accompanied by a trip ticket at all times. Leaf Data Systems generates these tickets, which are essential to tracking the chain of custody during transfers between various Licensees. When a Licensee prepares for a ticket, Leaf Data Systems receives information about the transport from the Licensee. Leaf Data Systems validates the data, including the sending and receiving Licensee's license status with OMP, then generates the manifest and its unique ID. Licensees are only able to select current, valid Licensees as the receiving Licensee, and are only

	limited to: ship from name, license number and route description. For each item include destination address, destination name, license number, address, product description, product ID and batch number, quantity and units of measure, departure time and arrival time. Trip tickets will be used as shipping documents for transfers between locations within an organization or sales between Licensees.					able to select as the receiving facility the address that Licensee has on record with OMP. Trip tickets are generated for and accompany any inventory transfer, whether as a transfer between locations within an organization or as a sale between Licensees. Trip tickets are stored in Leaf Data Systems for on-demand retrieval and can also be e-mailed or printed from within Leaf Data Systems. Information contained in each ticket includes: • Originating Licensee Date - Name, Licensing Number, Contact Information, Origination Date; • Receiving Licensee Data - Name, License Number, Receiving Person, Date Received; • Additional Details - Product Type, Product Unique ID, Quantity of Each Product, Lot/Batch; • Information for each product, Associated Weight/Quantity; • Transporter Information - Name and ID # of Licensee agent in charge of the transportation, Method of transport (i.e. car, plane, boat), Vehicle Details including Make, Model, and License or ID #; Travel Route, Departure Time, and Estimated Arrival Time. Leaf Data Systems is designed to receive this information from the originating licensee, then populate the trip ticket. The ticket can be e-mailed or printed from within Leaf Data Systems. Licensees are able to print the ticket to ensure that each transfer of packages has a physical copy of the manifest with it at all times. The trip ticket also has an incident log so that events can be logged to the trip ticket, up until the time that the chain of custody has been completed at the destination. Incidents may be things like unplanned stops or discrepancies found upon delivery. Product may not be received by a Licensee into Leaf Data Systems without a ticket, and product may not be transported until is passes testing standards. Leaf Data Systems encodes each trip ticket with a unique ID and prints a QR code on the manifest.
12	***Retail Sales Transaction Data:*** **Licensee retail sales transaction data must include but is not limited to: time and date of sale, license number, order number, sales items, price and quantities. For medical marijuana and medical marijuana**	**M**	**E**			At the point of sale, complete detail is captured about what is being sold and to whom. If required in regulations, the patient identifying information, including medical registry ID number, birthdate, name, etc. is attached to the record of the sale. In addition, the unique ID for each product being sold is recorded, ensuring that the chain of custody is complete. Unique records are created for each transaction, including sales, refunds, voids, and adjustments. In the case of transactions such as refunds and adjustments, a corresponding inventory adjustment record is created along with the record of the financial transaction so that the disposition of the inventory items in the transaction

	products sales transaction data must also include the qualifying patient ID number. Transaction data must include unique transactions for sales, refunds, voids, adjustments, etc.					can be recorded. For example, if a refund is given for a defective product, an inventory adjustment record is created to indicate that the product was taken back from the patient and destroyed. Leaf Data Systems captures complete retail sales transaction data, which are available to OMP in real-time for both reporting and alerts. Recorded sales information includes, but is not limited to: • Time and Date of Sale; • License Number; • Order Number; • All products on the order and associated product type information; • Product unique ID; • Batch or lot; • Quantity / Weight; • Price; • Order total; • Taxes total; • Refunds or discounts; • Voids; • Adjustments.
13	*Taxes.* **System will allow Licensees to generate excise tax reports for the purpose of satisfying reporting requirements to OMP.**	**M**	**E**			Leaf Data Systems collects complete sales transaction information from Licensees, including precise data on excise taxes and sales taxes collected. This is tracked in Leaf Data Systems and available to OMP through a reporting dashboard. Licensees also have several reports available to them providing details on taxes collected at granular levels, i.e. city, county, etc. Leaf Data Systems allows Licensees to generate excise tax reports for the purpose of satisfying OMP data reporting requirements. Alternatively, a user role for taxing authority staff could be created to allow them to view Licensee tax information recorded within Leaf Data Systems.
14	*Inventory Seizure.* **Proposed System provides functionality to allow OMP System Users to indicate inventory items have been seized by OMP.**	**M**	**E**			Leaf Data Systems provides OMP inspectors with the ability to record onsite any inventory items that they may seize in the course of inspecting a Licensee facility. Scanning the unique ID tag into Leaf Data Systems will show the inspector the complete data record of that item. The inspector is then able to record the item as seized, select a reason from the OMP identified list of reasons for seizure, and add relevant notes. This transaction immediately reflects in the Licensee view of Leaf Data Systems, as well as OMP's view. The date/time of the seizure, as well as the name of the inspector or law enforcement agency seizing the product is recorded. Seizures can be reviewed by OMP at either the individual Licensee level, or in aggregate. Filtering by reason code, date range, and product type is also available. Additionally, alerts are available to provide notification of seizure entries into Leaf Data Systems.

15	*Samples:* System must have the ability to track samples of Marijuana and/or Marijuana Products between Licensees. Input may include, but is not limited to, the following fields: date of transfer, transferred by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity.	M	E			All samples sent to other Licensees, including testing laboratories, are tracked in Leaf Data Systems. Data about the sample, such as date of transfer, source Licensee and license number, name/type of sample, weight of sample, batch/lot information, and date of harvest are all included with the sample record and remain as part of the record. Each sample sent to another Licensee is accompanied by a trip ticket. Once the sample is received, the received weight is entered to ensure no diversion has occurred. The Licensee that receives the sample tracks the disposal of the sample through Leaf Data Systems. Sample intake vs. waste reports can be used to ensure the chain of custody of each sample.
F.	Cultivation Facility Inventory Tracking Requirements:					
1	All cultivation of Marijuana will be performed at a Licensed Cultivation Facility. System will allow data input of inventory transaction information via user interface or automated interface.	M	E			Leaf Data Systems allows via user interface or automated data interface input of inventory transaction information of l Cultivators, Dispensaries, Processors, Distributors and OPM approved testing laboratories.
2	Proposed System allows tracking of clones and seedlings by count /variety until moved to the immature plant growth step, where the plants are then assigned a Unique Plant Identifier.	M	E			Leaf Data Systems tracks both seeds and clones as individual groups, with a globally unique tracking ID for each group. When the plants from the seed or clone groups mature into viable plants, each plant is assigned a unique ID that remains with it throughout the cultivation process. The groups of seeds or clones are tracked by the total number of seeds or clones in the group. When individual plants in the groups are culled, the system records the plant destruction.
3	The System will allow the addition of plant inventory items. Inputs may include, but are not limited to, the following fields: strain, plant ID, status in production cycle, date, and added by. In addition, an attribute will be provided to allow indication of	M	E			Leaf Data Systems enables the addition of plant items and required fields including strain, plant ID, status in production cycle, date and who added the plant to inventory. Additionally, plants may be designated as a seedling, clone, or mother plant.

	whether the plant is a seedling, clone, or mother plant.					
4	**Proposed System will allow tracking of marijuana plants through growth stages: clones/seedlings, immature plants, flowering mature plants.**	**M**	**E**			Throughout the seed to sale process, OMP will have the ability to see all marijuana, in all locations, and in all forms. During propagation, the planting batch will be tracked as integer units, corresponding to the number of units of seeds or clones tracked within Leaf Data Systems. Throughout the living plant phase, the location and stage of each planting batch is traced by Leaf Data Systems, which can identify each stage including propagation, vegetative growth, and flowering plants. Once propagated plants reach viability, they are tagged and assigned a unique ID that remains with the throughout the rest of their life.
5	**The System will track transfer of plant inventory between growth stages and locations. Data input may include but is not limited to: transfer date, transfer to location, order number, list of plants transferred.**	**M**	**E**			When batches of plants are moved from one location to another within a single Licensee facility, this movement is captured in Leaf Data Systems. This includes information on the physical movement of plants or material, transfer date, transfer location, list of plants transferred, the duration of time spent in each location, the expected harvest date, and the age of each batch. Notifications and alerts will notify OMP on plant movements exceeding established tolerances, as well as any variances deviating from the standard historical norm. Leaf Data Systems also generates variance reports to identify any deviations.
6	**Proposed System allows tracking of the daily application of fertilizers, pesticides, and any other compounds and/or products applied to each individual plant.**	**M**	**E**			Leaf Data Systems tracks several parameters that are always attached to the batch record: • Plant origin • Plant additives, including nutrients and pesticides • Physical location at all times, with historical record of all locations and length of time in each • Current and historical growth stage as well as the length of each stage and forecast time to harvest • Auditable plant notes For each individual plant, the plant record in Leaf Data Systems builds over time, adding entries for each of the items above as they occur in the life cycle of the plant. Cultivators add to this record on a continuous basis, collecting data throughout the plant's life. This data record remains attached to the batch after harvest, ensuring that it is always possible to access the cultivation records for any individual plant.
7	**Proposed System allows tracking of marijuana harvesting and processing of plant products including, but not**	**M**	**E**			Leaf Data Systems records all plants that have been added to inventory as seedlings, clones, or tissue samples. Leaf Data Systems track actions performed on plants, such as application of pesticides or nutrients, plant movement from one physical location to another, and plant destruction. At harvest, the unit of

	limited to: harvesting, batches, drying/curing stage, packaging, and storage.					measurement changes from plant count to weight of material. During the harvest phase, data elements such as the weight at different phases of the harvest, final weight, strain, and test results of the harvested product are captured by Leaf Data Systems. Leaf Data Systems tracks the following associated with harvest: • Initial harvest (wet) weight; • Weight of each separated product: flower, by-product, and waste; • Staff identification and time/date stamp (at each step); • Physical location of the plant material; • Test results; • Batch processing status (open vs. complete); • Searchable by harvested date range; • Searchable by stage (harvested, packaged, or destroyed). When the harvest process is complete, trim and byproduct material is then processed into extractions and infusions. Leaf Data Systems tracks the weight and all physical movement of material destined for processing, as well as the User employee identification and the time/date stamp. Additional data elements captured by Leaf Data Systems include: • Product name; • Product type; • Product ID; • Lot number; • Unique Plant Identifier; • Quantity yielded; • Units of measure. Leaf Data Systems tracks and stores all batch information for all plant matter used in the extraction process, including the ability to combine several batches into a new, linked, production batch. An extraction percentage is also calculated by comparing the total input material against the final output concentrate. Alerts can be generated to trigger notifications when this extraction percentage deviates from the standard mean. Lastly, Leaf Data Systems allows for the generation of edibles and infusions through the same conversion process, allowing for the addition of any other additives or ingredients through the infusion process. Lots of non-medicated products may be tracked as well to ensure overall food safety, for instance with ingredients such as eggs and/or lactose products. These data elements and logic controls allow for the complete visibility of marijuana through its entire life cycle, and through different cultivation and production

						workflows, ensuring both diversion prevention and product quality.
8	**Harvested plant material will be weighed at each stage of the harvesting and processing of plant products. Producers may weigh plants wet or dry/cured. Data input may include fields including, but not limited to: strain, product name, product type, product ID, lot number, Unique Plant Identifier, quantity yielded, and units of measure.**	M	E			Summary weights at key points in the dry-trim-cure process are captured within Leaf Data Systems and automatically compared to the previous weigh points. OMP can establish the required weight points, allowing other weight points to be optional for cultivators. Notifications and alerts will notify OMP on any variances deviating from the standard historical norm. The batch/lot record includes strain and/or product name, product type, product ID, batch/lot number, Unique Plant Identifier, quantity yielded, and units of measure. Variance reports are available to identify any mathematical deviations.
9	**System will track packaging of harvested Marijuana. Data may include but is not limited to the following fields: strain, product name, product type, product ID, lot number, Unique Plant Identifier, net package weight and units of measure.**	M	E			Leaf Data Systems includes robust tracking for the packaging process. In this process, total packaged weight is compared to dry/cure weight and/or original harvest wet weight to ensure the integrity of the inventory. For all packaging of harvested Marijuana, the following data is associated and recorded by Leaf Data Systems: Strain and/or product name, product type, product ID, batch/lot number, Unique Plant Identifier, quantity yielded, and units of measure. Each package is assigned a unique ID. All data related to the packaging process is accessible to OMP through reports. Alerts can also be created for actions in the packaging process, such as reported loss in excess of a defined threshold.
10	**Producers may package and sell Marijuana on a wet or dry basis. To facilitate the tracing of product inputs back to their origin, the inventory of each package will be tracked by the Product ID and a Batch Number. Data may include but is not limited to: strain, product name, package ID, Unique Plant Identifier for each plant included in**	M	E			Leaf Data Systems records the acquisition and exchange activities of each facility operation from destination to source. In the case of packaging and selling marijuana to other producers, this includes: • Licensing information for the selling facility; • Licensing information for the receiving facility; • Product ID; • Batch/Lot information for products; • Type of product; • Description of product(s) including strain; • Unique plant ID for each plant included in the lot; • Weight of product; A record of the receipt is maintained in Leaf Data Systems, including which facility agents both sent and received the products and verified their weights.

	the Lot, weight and other units of measure.					Leaf Data Systems' reporting interface displays high-level details regarding this type of packaging and sale, and the robust reporting capabilities allow OMP to drill down to details at any time.
G.	Manufacturing Facility Inventory Tracking Data Requirements:					
1	**Product Manufacturers will process, package, and label Marijuana and Marijuana Products for sale to Marijuana Retail Stores and other marijuana establishments. Marijuana Products contain Marijuana or Marijuana extracts and are intended for human use including but not limited to edible products and non-edible products. System will allow via user interface or automated data interface input of inventory transaction information.**	**M**	**E**			Leaf Data Systems tracks all production events including packaging of marijuana, marijuana extractions, and the production of marijuana infused products. During the production process, the original batch information for each bulk flower, trim, or by-product package is linked to a new production batch/lot number to be applied to the concentrated extract or marijuana infused product that is created. Each Package created from a new extraction batch is a lot and has a unique ID and barcode. Leaf Data Systems tracks and stores all batch information for all plant matter used in the production process. In this way, each extraction or infused product has batch information that is traceable to the plant material from which it was extracted, which is, in turn, traceable to the original plants from which the plant material was harvested. Leaf Data Systems also tracks the quantity of plant matter added to create the extraction or infused product and the resulting quantity of that is yielded, with the ability to produce alerts for extraction percentages outside a previously defined standard deviation. Data elements captured in the production process include, but are not limited to, production process, yield in weight or volume, lot/batch ID used in production or packaging, extraction batch IDs, and total yield of the batch.
2	**Proposed System tracks processing events, including but not limited to, process and yield in weight or volume, lots and/or portions used to create a batch of extract and individually packaged unit of marijuana, extract batches used to create a batch of marijuana product, and total yield of batch.**	**M**	**E**			Leaf Data Systems tracks all production events including packaging of marijuana, marijuana extractions, and the production of marijuana infused products. During the production process, the original batch information for each bulk flower, trim, or by-product package is linked to a new production batch/lot number to be applied to the concentrated extract or marijuana infused product that is created. Each Package created from a new extraction batch is a lot and has a unique ID and barcode. Leaf Data Systems tracks and stores all batch information for all plant matter used in the production process. In this way, each extraction or infused product has batch information that is traceable to the plant material from which it was extracted, which is, in turn, traceable to the original plants from which the plant material was harvested. Leaf Data Systems also tracks the quantity of plant matter added to create the extraction or infused product and the resulting quantity of that is yielded, with the ability to produce alerts for

						extraction percentages outside a previously defined standard deviation. Data elements captured in the production process include, but are not limited to, production process, yield in weight or volume, lot/batch ID used in production or packaging, extraction batch IDs, and total yield of the batch.
3	**Proposed System tracks marijuana disposal including the following data fields: usable plant material, net weight and units of measure for all plant material, extract, and marijuana product, and reason for disposal. This should trigger an automated notification to OMP.**	M	E			Leaf Data Systems tracks all products using unique IDs as well as other product data such as product ID and lot number. Retaining unique IDs enables Leaf Data Systems to track product back to origin. Additional data elements captured by Leaf Data Systems include: • Strain; • Product name; • Product type; • Package ID; • Unique Plant Identifiers; • Weight; • Units of measure.
H.	Retail Store Inventory Tracking Requirements:					
1.	**Retail Stores will sell Marijuana, Marijuana Products in retail stores to persons twenty-one (21) years of age and older. System will allow via user interface or automated data interface input of inventory transaction information.**	M	E			At the point of sale, complete detail is captured about what is being sold and to whom. If required in regulations, the identifying information, including birthdate, name, etc. is attached to the record of the sale. In addition, the unique ID for each product being sold is recorded, ensuring that the chain of custody is complete. Unique records are created for each transaction, including sales, refunds, voids, and adjustments. In the case of transactions such as refunds and adjustments, a corresponding inventory adjustment record is created along with the record of the financial transaction so that the disposition of the inventory items in the transaction can be recorded. For example, if a refund is given for a defective product, an inventory adjustment record is created to indicate that the product was taken back and destroyed. Leaf Data Systems captures complete retail sales transaction data, which are available to OMP in real-time for both reporting and alerts. Recorded sales information includes, but is not limited to: • Time and Date of Sale; • License Number; • Order Number; • All products on the order and associated product type information; • Product unique ID; • Batch or lot; • Quantity / Weight; • Price;

						• Order total; • Taxes total; • Refunds or discounts; • Voids; • Adjustments.
2.	**For registered qualifying patients of Medical Marijuana Program, the system will allow entry and validation of the patient's registration number.**	M	E			Leaf Data Systems provides validation and response feedback for submitted data, whether submitted through the API, through CSV upload, or through the data entry portal. These validation checks include: • Ensuring the completion of required data elements; • Validating the format of data submitted.
I.	Audit/Investigation Reporting:					
1	**The System will provide robust ad-hoc and pre-defined reporting functionality for OMP to determine compliance with Maine statutes and rules for Medical and Adult Use marijuana.**	M	E			Leaf Data Systems includes a business intelligence reporting platform which provides the ability to search multiple datasets including datasets specific to customers, plants, sales, and inventory. The platform also contains a number of predefined, function-specific analytical reports, which can be modified and saved by any user. Users can also create ad hoc analytic reports, which can be scheduled to automatically run and can be distributed with predefined settings: • Facility daily summary reports that include beginning and ending inventory, batch locations, product type, and strain; • Destruction/Disposal Report; • Acquisition/Distribution Reports; • Cultivation and Harvest Reports; • Batch History and Batch Recall Reports; • Financial and tax reports; available at summary level; • Exception and discrepancy reports for specified events; available at summary level; • Laboratory Test Results. As compliance is the main purpose of Leaf Data Systems, the platform allows for all reporting to be tailored to support OMP in determining compliance with Maine statutes and rules.
2	**The System must be able to collect and summarize in report format, data for various read/entry points in the processing of Marijuana products.**	M	E			Leaf Data Systems' advanced reporting functions take advantage of the multitude of data points collected in the system throughout the entire chain of custody. The advanced reporting engine is a business intelligence analytic platform that includes the ability to manipulate multidimensional datasets. The system can create custom reports for a multitude of purposes, such as summary reports for the various read/entry points in Marijuana processing, in-depth inventory status and

						reconciliation reports, product availability reports, reports specific for recall efforts, and compliance reports. All reports can be custom formatted for specific purposes. Reports can be produced in multiple formats, such as PDF, CSV, Excel, HTML, and text files. Reports can also be scheduled, and custom permissions can be assigned to each report.
3	**The reporting functionality must be capable of reporting of tracking and transaction information through the entire chain of custody.**	**M**	**E**			Leaf Data Systems patent-pending chain of custody methodology provides complete accountability through the entire supply chain. Every action in the supply chain is recorded with the username, time, and date stamp attached. This detailed digital chain of custody enables in-depth analysis and cross-referencing of information between Cultivators, Manufacturers, and Retail Stores. Leaf Data Systems' robust search and filter functionality, as well as its reporting capabilities, provide OMP with the ability to perform in-depth and detailed analyses of facility transactions, both for individual users, as well as in aggregate for all facilities in the state. Each object in Leaf Data Systems' database, including each plant, product, and inventory item, is assigned a globally unique, non-repeating identification number upon creation. This unique ID is used to track product as it moves from one facility to another. All transfers between facilities require that transportation manifest data from both the sending and receiving facility is recorded in Leaf Data Systems. Data from both entities is automatically compared when the receiving facility posts the data for the receipt of the shipment. The globally unique identifier is used to ensure that the manifest records are valid and consistent between the two entities. Any discrepancies generate an alert to OMP staff. The data dashboard provided to OMP users provides a business intelligence analytic platform that includes the ability to manipulate multidimensional datasets and cross-reference and analyze data between various license types.
4	**The reporting functionality must provide the ability to analyze data and cross reference among different stages of marijuana grow cycle within vertically integrated marijuana establishments, as well as among different types of marijuana establishments.**	**M**	**E**			The Leaf Data Systems advanced reporting engine is a business intelligence analytic platform that includes the ability to analyze data and cross reference among different stages of marijuana grow cycle within vertically integrated marijuana establishments, as well as among different types of marijuana establishments.

5	**The reporting functionality will be capable of reporting over all database tables and fields within the System.**	M	E			The Leaf Data Systems advanced reporting engine is a business intelligence analytic platform that includes the ability to manipulate multidimensional datasets and report against all tables and all data stored in the system.
6	**The reporting functionality will allow OMP to define new reports and edit as needed without assistance or ongoing support from the Awarded Contractor.**	M	E			Leaf Data Systems can create custom reports for a multitude of purposes, such as in-depth inventory status and reconciliation reports, product availability reports, reports specific for recall efforts, and compliance reports. All reports can be custom formatted for specific purposes. The definition of new reports and the ability to edit as needed is an intuitive process that can take place without assistance or ongoing support from the Awarded Contractor. The reporting functionality will be included in OMP user training.
7	**The System will provide functionality to export report data to variety of formats including but not limited to: Microsoft Excel, .csv, text.**	M	E			The Leaf Data Systems reporting engine can export data to a large number of standard export formats, including CSV, XLS, PDF, HTML, and text files.
J.	System User Access:					
1	**The System must be configurable to provide appropriate levels of user access, permissions and visibility based on user groups/roles, such as Department system users and industry licensees.**	M	E			Leaf Data Systems offers a comprehensive approach to user access control. Access control features include: • Role-Based Access Controls (RBAC) allows administrators to easily provision users with the correct level of access; • Standard user groups include OMP system administrators, OMP staff users, facility administrators, and facility staff users. Additional groups can be created at the request of OMP; • Multiple permission levels can be granted by user, ensuring that no user has unauthorized access to functionality or data; • OMP staff must create user accounts in Leaf Data Systems and assign the authorized facility contact as the administrator for that facility's account; • All users are restricted to see only the data for their user organization.
2	**The System must be equipped with internal software security to avert unauthorized access to functionality and data.**	M	E			Leaf Data Systems restricts access to programs and data through the effective deployment of user access controls via the simultaneous use of both Location-Based Access Controls (LBAC) and Role-Based Access Controls (RBAC). Location-based access control is a direct relationship to the user's approval by OMP, where the user is only able to access the location(s) officially licensed by OMP. Access to the location is strictly controlled by OMP.

						where OMP has the ability to temporarily restrict or completely restrict access to either the facility, employee, or agent of the facility. For example, if OMP conducts an investigation and finds probable cause to suspend operations, then the access to the facility data may be restricted, thus maintaining the integrity of the data and removing the possibility for further infractions. Alternatively, OMP can restrict access for a single employee from the entire system. Role-based access control is configurable at both the OMP and user levels. During the business needs analysis process, user access will be evaluated and configured to meet OMP's needs. Typically, user roles are created to require two user roles to affect non-routine transactions. For example, at the facility level, a role exists that allows a single user to affect a sale, which affects the inventory, customer records, and cash receipts. However, a second role, such as a supervisor, is required to approve discounts, product returns, or inventory adjustments. Leaf Data Systems follows best practices security standards in providing managed, hosted software solutions. This includes compliance with PCI DSS, ISO/IEC 27002, HIPAA, and ITIL standards. Leaf Data Systems recommends hosting the OMP Leaf Data Systems environment on the Amazon Web Services GovCloud. Additionally, for any requirements that are subjective in nature, a collaborative review and remediation process will be put in place.
3	**The Department administrative users will have the ability to register through system functionality.**	**M**	**E**			Leaf Data Systems allows for the creation of OMP administrative users, which is restricted and can only be performed by the OMP System Administrator. An OMP staff user with administrative privileges can create accounts within Leaf Data Systems for other authorized users. The OMP System Administrator can assign the appropriate system access limitations to the individual user. Security standards apply to all users of the system.
4	**The administrative level permissions for Licensee administrators will be limited to granting access to employees only for that licensee establishment.**	**M**	**E**			Leaf Data Systems allows only administrators in Licensee assigned accounts to modify user access in that specific account associated to the administrator's profile. Leaf Data Systems uses role-based configuration and security levels to allow facility administrators to restrict facility employees' access to the system. Additionally, access can be restricted to computers present in the facility, preventing employee access from any other physical location. Facility administrators are tasked with the user management of their employees and have the ability to create and disable facility users, as well as establish or change their level of access. Facility users only have access to the data and functionality of their own Licensed operation.

5	**Proposed System will provide the ability to Licensee administrators to control employee access and visibility to types of activities and functions in the system.**	M	E			Leaf Data Systems administrators in Licensee assigned accounts have the ability to control employee access and visibility to types of activities and functions in the system. A Leaf Data Systems user with administrative privileges can create accounts within Leaf Data Systems for authorized users. Once the user account is created in Leaf Data Systems, the OMP administrative user can create a user for that account and assign the appropriate system access limitations. Security standards apply to all users of the system.
6	**Proposed System must be configurable to control access level to reporting functionality based on user group/role.**	M	E			Leaf Data Systems uses role-based configuration and security levels to provide access to reporting functionality for both OMP system users and users. The OMP administrator users are able to manage these access controls for all users. User administrator users are able to manage these access controls for their employees. Users only have access to data from their own Licensed organization. OMP users with appropriate permissions levels have access to data for all facilities.
7	**Proposed System must be configurable to control level of access to licensee data.**	M	E			Leaf Data Systems uses role-based configuration and security levels to provide access to reporting functionality for both OMP system users and users. The OMP administrator users are able to manage these access controls for all users. User administrator users are able to manage these access controls for their employees. Users only have access to data from their own Licensed organization. OMP users with appropriate permissions levels have access to data for all facilities. Additionally, the OMP administrator users are able to configure access controls for OMP users to allow access to subsets of facility data.
K.	Audit Trail: **The System will provide full audit trail of all updates made to application data. The audit log will include date of change, user, type of change and original and changed values.**	M	E			Leaf Data Systems' chain of custody methodology centers on complete accountability. All actions affecting system objects, such as plants, customers, purchase orders, sales orders, transfers, conversions, manifests, packages, wholesale transactions, and users are recorded, in real-time, with a time/date stamp and the system user ID for the individual who affected the change. The audit trail provides detail for both the before and after states of each system object, revealing the type of change, the exact values, and providing a method for reconstruction. Additionally, the system has web transaction logging and each action in the system is tracked by the IP address from which the action was initiated. Through the custom reporting engine, any type of audit history can be viewed. Leaf Data Systems has pre-built histories for highly sensitive data, such as batch, lot, testing results, transport manifests, sales, and adjustment histories. Audit history for additional data points can be

						generated from the master log, which records each action performed in the system overall.
L.	Data Storage Requirement: **The selected vendor will store all system data and reports. The data hosted and stored by the contractor is sole ownership of State of Maine. The vendor must provide all data to the Department upon request.**	**M**	**E**			MJ Freeway will provide all hardware, software, and ongoing maintenance of the hosted solution environment for the Leaf Data Systems product, in addition to a fully supported setup and rollout of Leaf Data Systems. All data, reports, and forms will be stored in Leaf Data Systems' secure hosted environment. MJ Freeway's hosted infrastructure is enterprise-class and of the highest caliber available in the seed to sale marijuana tracking industry. No other vendors approach the level of cloud hosting and systems provided, or the responsiveness of MJ Freeway's technical teams. Leaf Data Systems is hosted via a secure Tier-3+ data center, certified SSAE16, and utilizes a Converged Infrastructure solution, which allows for rapid growth and expandability. The business continuity and disaster recovery data center are connected via private line with VPN encryption and is situated over 250 miles away from the primary facility. The use of multiple, geographically disparate hosting sites, combined with mirrored data capabilities, allows for rapid failover scenarios with extremely quick mean time to repair (MTTR) and recovery time objectives (RTO). MJ Freeway fully manages all infrastructure and software that is part of Leaf Data Systems. Maine will retain sole ownership of all data stored in Leaf Data Systems. MJ Freeway staff will provide any or all data upon request.
M.	Service continuity/Reliability:					
1	**Proposed System is fully operational and will remain operational at least 99.95% of the time 24 hours p/day, 7 days p/week.**	**M**	**E**			We understand these requirements and understand the consequences. Our maintenance usually occurs on Tuesday/Saturday evenings, but will be arranged with OMP in advance. MJ Freeway's hosted infrastructure is enterprise-class and of the highest caliber available in the seed to sale cannabis tracking industry. For OMP's Seed to Sale Tracking System project, we recommend Amazon Web Services (AWS) GovCloud. AWS GovCloud offers a highly-available blended ISP transit solution for bandwidth ensuring 99.99%+ uptime and access to the system for OMP users as well as authorized users.
2	**The selected contractor must provide technical service contact information for reporting problems, such as outages and connectivity issues.**	**M**	**E**			The infrastructure and software used for this project are designed to be available 24/7, at all times (outside of maintenance windows) with a special emphasis on maintaining 100% uptime during peak usage hours, but in no case with less than 99.5% system availability. Typical peak usage hours are 7AM –7PM EST but can vary depending on locale. Identified Program technical staff with full administrative rights will have access to

						the system 24/7 outside of scheduled maintenance windows. A proposed maintenance window is planned for 12 AM to 4 AM ET nightly – timing and duration are dependent on Program approval.
3	**The selected contractor must provide assistance to Licensees, ALMS, OMP staff and data warehouse in resolving connectivity and download/upload issues.**	M	E			MJ Freeway will be available to provide assistance to Licensees, ALMS, OMP staff and data warehouse in resolving connectivity and download/upload issues.
N.	Data Upload Requirements:					
1	**Proposed system allows users to verify and correct uploaded data before posting to the System**	M	E			Leaf Data Systems provides validation and response feedback for Submitted data, whether submitted through the API, through CSV upload, or through the data entry portal. These validation checks include: • Ensuring the completion of required data elements; • Validating the format of data submitted; • Validating the completeness of submitted data. If the submitted data fails any one of these validation checks, the submission is rejected, the facility receives user-friendly response feedback, and is given the opportunity to correct the error. Only once all data validation checks are passed is submitted data accepted into Leaf Data Systems. These validation and response checks are applied consistently for any of the three methods of data submission into Leaf Data Systems - API, CSV file upload, or manual data entry. All changes will be logged.
2	**Proposed system allows users to correct posted information.**	M	E			Once the data is posted, users can post additional entries that correct the previous posting, resulting in a net correct entry, while maintaining historically posted information for audit purposes. All data posted to the system, via either manual entry or API, is captured in the audit trail and recorded with the time/date and system user ID of the facility employee affecting the transaction.
3	**Proposed system allows users to manually enter data into input screens, as an alternative to uploading data.**	M	E			Leaf Data Systems provides three methods for facilities to securely submit data into the system - RESTful API, CSV file upload, and manual data entry. The data entry method allows users to manually enter data through the Leaf Data Systems' web-based portal. These three (3) methods of interaction all record data directly into the Leaf Data Systems database. Leaf Data Systems includes robust tools to synchronize data with the users, no matter which of the three methods they use for entry. Leaf Data Systems incorporates best in class security

						standards and adheres to all of the security requirements mandated by the OMP.
O.	Data Download Requirements:					
1	**Proposed System allows for the downloading of predefined and ad-hoc reports determined by OMP.**	M	E			Leaf Data Systems includes a business intelligence reporting platform which provides the ability to download and search multiple datasets, including datasets specific to customers, plants, sales, and inventory. The platform contains several predefined, function-specific analytical reports, which can be modified and saved by authorized users. Users can also create ad hoc analytic reports, which can be scheduled to automatically run and can be distributed with predefined settings. Reporting is available on all data points within Leaf Data Systems, and Reports may be displayed or exported in file formats that include Microsoft Excel, PDF, CSV, HTML, and text.
2	**System downloads will be transmitted over an encrypted secure connection.**	M	E			Leaf Data Systems adheres to industry best practices for security. All data, including any system downloads which are transmitted over public internet, are encrypted via SSL/HTTPS.
P.	System Alerts: **Proposed System allows OMP to manage alerts and notifications, defining tolerance levels and selecting recipients.**	M	E			Leaf Data Systems includes the ad-hoc capability to create real-time alerts of significant events. This robust tool allows OMP users to create alerts on any data element captured in the system, including but not limited to those related to plants, harvests, distributions, acquisitions, transfers, transportation, sales, and inventory levels. The types of alerts include the following: • Absolute limits. For example, an alert for inventory adjustments that exceed X number of grams in a single day; • Thresholds. For example, an alert for total daily sales that are greater than 10% of the trailing 30-day average. Absolute limit and threshold alerts can calculate based on dollar, percentage, time, or count criteria. The absolute limits and thresholds are configurable by OMP. Some examples of alerts available through the ad-hoc alerting tool include: • Alert on late product shipment or discrepancies between sent and received quantities; • Sales alerts, such as defined increases or decreases in revenue; • Alert on sales that exceed sale limits; • Alerts on defined numbers of plants created based on source; • Alert on quantity of product transported; • Alerts on defined outliers, based on percentage returned, for the harvest/trim process and the extraction/infusion process.

						Leaf Data Systems provides alerts for activity such as new user creation or failed login attempts. Alerts can be customized to provide closer scrutiny to any aspect of user activity. Alert notifications can be configured to display in Leaf Data Systems, and to alert OMP staff via email. Multiple alert recipients can be specified.
Q.	Data Retention Policy: **Data collected by the System must be available for a period of seven (7) years. Upon retention period completion data must be archived to permanent storage before it gets removed from the system.**	M	E			Leaf Data Systems securely stores all data in its colocation data center on replicated server architecture. Backups are additionally maintained offsite. These redundant data storage platforms ensure that all transaction data in the seed to sale system will be retained for the required 7 years. Data stored in the system is available for recall by authorized users. Following the retention period, data will be archived to a mutually agreed upon permanent storage medium prior to removing it from the system.
R.	Disaster Recovery: **Proposed System has a disaster recovery plan which includes off-site backups and System restoration within twenty-four (24) hours.**	M	E			MJ Freeway maintains disaster recovery plans, which will include the OMP's implementation of Leaf Data Systems. The plan includes native replication as well as off-site backups and system restoration within twenty-four (24) hours. The plan also includes processes for responding to Significant Business Disruption (SBD) events. • Recovery time objectives: MJ Freeway's infrastructure and software is designed to be available 24 hours/day, 7 days/week, with a verifiable 99.99%+ uptime, including 100% uptime during peak usage hours; Recovery-time objectives provide goals to plan for and test against. They are not, however, hard and fast deadlines that must be met in every emergency, and various external factor surrounding a disruption, such as time of day, scope of disruption, and status of critical infrastructure—particularly telecommunications—can affect actual recovery times; As part of detailed project requirements discussions, MJ Freeway and the OMP team will review business continuity objectives and determine appropriate RTO(s) in the event of an SBD; • Communication plan: In the event of an SBD, MJ Freeway will immediately identify what means will be most effective in communicating with the OMP team and users; Although the effects of an SBD will determine the means of alternative communication, the communications options employed will include in-system notification, SMS message alerts, voicemail message alerts, telephone alerts, and email alerts; • Business function recovery: MJ Freeway's policy as it relates to the OMP System installation of Leaf Data Systems is to respond to a Significant Business

						Disruption (SBD) proactively; safeguarding employees' lives, MJ Freeway property, and Leaf Data Systems by: Making an immediate and thorough operational assessment; Quickly recovering and resuming operations; Protecting all the OMP System installation of Leaf Data Systems stored data; Maintaining or restoring access to the OMP System installation of Leaf Data Systems to the OMP team and users (The MJ Freeway's disaster recovery plan anticipates two kinds of SBD: internal and external); Internal SBDs affect MJ Freeway's ability to maintain operations of and provide access to the OMP System installation of Leaf Data Systems; External SBDs prevent the operation or access to the OMP System installation of Leaf Data Systems due to an external event, such as a terrorist attack, severe weather, or a wide-scale regional disruption. MJ Freeway's response to an external SBD relies more heavily on other organizations and systems; • MJ Freeway is a virtual company, meaning that employees need not travel to a central, physical location to perform their job functions; • In the event of an SBD affecting a regional geography, employees can re-locate to continue work. Key employees are distributed across the country, residing in multiple cities from coast to coast; • In the event of an SBD affecting MJ Freeway's internal communications, MJ Freeway has an identified a tree of alternate methods of communication through mobile and telecommunications networks; • If an SBD occurs that impacts Maine, staff will be deployed appropriately to mitigate the issue, whether that means sending additional team members to be onsite in Maine or convening resources virtually to address the SBD from other locations.
S.	Security:					
1	**Proposed System's security model limits licensee's data access and visibility to data collected for that individual licensee and allows OMP to view data for all licensees based on specified search criteria. Encryption occurs both at rest and in flight.**	**M**	**E**			Our solution offers several options related to personally identifiable information, including not allowing it, encrypting it, and masking it. Leaf Data adheres to industry best practices for security. All data, including any system downloads which are transmitted over public internet, are encrypted via SSL/HTTPS. Leaf Data strictly follows best practices security standards in providing managed, hosted software solutions. These best practices include encrypting sensitive data that is digitally transferred over any communications media (often referred to as in flight), as well as encrypting all data being stored on a stateful device (often referred to as at rest). Row level encryption is enforced on the database as a default and provides significant protection for all data in the database. Additional encryption can

						be used for the entire backup file. In all cases, the encryption algorithms used are FIPS compliant.
2	**Bidder shall provide documentation outlining security controls used to isolate application services and data if proposer's solution operates in a multi-tenant hosted environment.**	**M**	**E**			Leaf Data takes a proactive approach to security, applying industry security best practices to our infrastructure and software at all levels. We practice strict least-privilege, ensuring that all stakeholders (staff, vendors, clients, etc.) only receive necessary access to production systems and data. All systems use least-privilege (deny-all, permit-by-exception) as a guiding philosophy. Leaf Data's systems and network security protocols include extensive measure to prevent security violations and track unauthorized access attempts. All such activity is captured with extensive logging. Details of our systems and network security measures are below: • Our solution uses the Amazon Web Services (AWS) Elastic Compute Cloud (EC2) service to run servers in the AWS virtual environment. We apply its rigorous security standards to EC2 instances – or virtual machines - to ensure that they meet all requirements. While the EC2 instances are hosted in a secure data center, the operating systems require hardening beyond the AWS service offering; • Instances are provisioned using installation scripts to ensure that they begin with a minimal Linux operating system installation. The installation scripts further apply security controls based on CIS and DISA STIG guidance, as appropriate for each instance and it's required services; • Each instance performs full audit logging, per the DISA STIG recommendations. We employ a centralized logging system which offers a wide variety of logging parameters to monitor access activities, system exceptions and suspicious activity. The data generated from the logging system is then reviewed, analyzed, and assessed for suspicious activity and events. Investigation of suspicious activity is conducted to determine cause and any mitigation actions required. Incident response logs and investigation reports will be made available to the state as needed, and all incidents will be reported per state requirements; • All virtual machines are deployed with anti-malware and anti-virus applications, automatically updated, which actively scan, detect, and report potential threats to the environment; • Account security for our systems engineers authorized to access the AWS environment is enforced through stringent measures, including: o 2-Factor Authentication enforced for all AWS

						Console login; o VPN required for access to production systems; o 2-Factor Authentication enforced for VPN access. • We use both firewalls and separation of environments to protect critical data. Production environments are hosted in separate data centers from non-production environments. Production trusted zones are separated from untrusted zones (outside world) by a DMZ. This is accomplished using the AWS Virtual Private Cloud (VPC) functionality, separate root accounts, and strong network access controls (least privilege). In the case of this proposal, the production environment will be hosted in an entirely separate AWS root account. Several tools are employed to facilitate vulnerability assessment and testing of operating systems, applications and network devices. These include tools to track patches and verify that the correct patches (i.e. tested and approved versions) are applied in each environment. Additionally, real-time intrusion detection tools are used to assess security integrity and identify vulnerabilities. Resulting information from these assessments informs actions to mitigate vulnerabilities. Log data is stored and retained on a centralized and immutable logging platform where security incident and event management (SIEM) software analyzes and alerts on anomalies. These alerts can be automatically sent to the state, if required, however this may have an impact on bandwidth utilization and cost.
3	**Bidder shall maintain and make available for review upon request documentation regarding physical security controls, logical security controls, asset controls and human resource controls.**	**M**	**E**			MJ Freeway will maintain and make documentation available to OMP for review upon request regarding physical security controls, logical security controls, asset controls and human resource controls.

D. Standards and Performance Measures

1. MJ Freeway will work with the OMP and submit any required information to the OMP to show compliance with Deployment Certification: http://www.maine.gov/oit/policies/Application-Deployment-Certification.pdff; Security: http://www.maine.gov/oit/policies/SecurityPolicy.pdf; Web Accessibility:

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault P1
DATE: 4/16/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

****

Instructions: *The purpose of this form is to record proposal review notes written by* ***individual*** *evaluators for this Request for Proposals (RFP) process. It is* ***required*** *that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

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Individual Evaluator Comments:

Organization Q + E
P World wide
P Since 1990
(M) Limited marijuana –
Vermont Registry, but not one of its three referenced projects
maybe M? Process as subcontractor – but have worked w/ government projects
M Staffing qualified technically but not marijuana
P 450 Customers, 20K users max, etc –
Listed Projects – 5

I California DOH / Gambling
(M) Interesting system but not sure of relevance

Arizona Dept of Gaming / DMS
(M) Interesting system, not sure of relevance

Florida Dept of Children + Families
M – Substance Abuse – (overall not really relevant)
(P) Involved licensing, inspectors

P Promise with VisualVault look to work together on ...

(P)
Good PM but experience not specifically related (M)
same " w/ Architect / Developers "

P1#
15 – friendly – Fine
P – Licensing / Regulatory exp – interesting
P – Imm Pendleton – Public Sector

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault p2
DATE: 4/16/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

****

Instructions: *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

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Individual Evaluator Comments:

Proposed Services: COTS SaaS ~ P
P Detailed Design of system
P Good standard Plans (Project) - Phases
?* Q On call + Premium support - Costs for premium? (24/7)
Q Unique ID # good but how access it?
P Host SOC 2, Type 2 38
P RPO + RTO - good
M - Didn't answer re architecture (Doesn't need full state) * 40
P Good SLAs
Project Schedule - 6 mos, general tasks (Nov at best) 43
? Explain sprints
(M) - No RFP, no code or explanation of how ID #s get in
Data entered manually
I, Q Community licensing 21
Customer quoted - OK 31
I, Q Vermont Open Gov Suite
Q Installation of Client software? 22
P REST API - Integrate / import/export
Q Training - OK but what exactly do we get?
Response re: file download formats is fair 40
12 (I) System designed for compliance for med manufacturing (ID + Track Devices)
(M) Can handle third party system, but how for plant tracking? 25

P 19 Seem to have good understanding of business & State's needs

M Patient Registration - this is PII that shouldn't be in system 24

* Changes to base system, not customer

P - Engaged at Flight + rest 37 (P) AWS, SOC 2 - good 38

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault C3
DATE: 4/16/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

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Instructions: *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

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Individual Evaluator Comments:

Architectural Approach	39
RFP/PDD	40

GRM

	Marijuana Seed to Sale Tracking System Requirement	Mandatory / Desirable	E	CO	CU	Explanation	
A.	Central Inventory Management System						
1	Proposed System provides a record data management system capable of storing inventory and transaction data for all Marijuana Establishment Licensees in State of Maine.	M	E			A portion of our global services is our Enterprise Content Management (ECM) suite of services. ECM is designed to facilitate intake, workflow, processing, central repository, notifications, correspondence, search and retrieval, etc.	P
2	The system assigns a globally unique, non-repeating identification number for every plant and inventory item recorded in the system.	M	E			VisualVault is designed to assign a unique ID number based on OMP's business rules	P
3	The system assigns the identifier to prevent duplication of identifiers by licensees, providing for reliable traceability.	M	E			The unique ID AND additional meta-data can be used to enable the VisualVault platform to verify data and validate data fields to ensure no duplicates exist. The validation will be run against the VV DB as well as third party DB's the our platform is integrated with.	Q - third party dbs?
4	The system is capable of using US customary and metric units for data entry, tracking and reporting.	M	E			Any data and metric can be used to track. This is a standard function of VisualVault.	
B.	Web Application Interface						
1	The system provides a secure web-based user interface for data entry, display, and reporting by Marijuana Establishments licensed in State of Maine.	M	E			VisualVault is a pure SaaS and provides our dashboard view through a web-based interface. Community Licensing enables every organization and individual contributing to the Seed-to-Sale program will have a license and therefore will be able to view, submit, retrieve, self-serve their needs and their information based on OMP business rules.	Q Community licensing
2	The system provides a secure user interface for OMP employees for user and system administration, and retrieval and tracking of inventory and transaction data.	M	E			VisualVault is a pure SaaS and provides our dashboard view through a web-based interface. Community Licensing enables every organization and individual contributing to the Seed-to-Sale program will have a license and therefore will be able to view, submit, retrieve, self-serve their needs and their information based on OMP business rules.	Q
C.	Data Exchange/Interface						
1	Provides secure connections for data exchange to and from ALMS	M	E			Data is encrypted at rest and in transit for security. VisualVault uses secure API's and micro services for integration.	P
2	Provides secure connections for data exchange to and from OMP data warehouse.	M	E			Data is encrypted at rest and in transit for security. VisualVault uses secure API's and micro services for integration.	P
3	System includes web services, uses XML based open standards.	M	E			VisualVault is fully compliant with these standards.	P
4	Provides secure web service API for integration of 3rd party information systems.	M	E			Data is encrypted at rest and in transit for security. VisualVault uses secure API's and micro-services for integration.	P
5	Provides validation and alerts/notifications for validation checks on Licensee data submitted through data interface	M	E			Validation and alerts are auto generated and data flows are identified and reported on to the correct OMP staff member based on OMP business rules	P
D.	Reports:						
1	Proposed system has the ability to download and search datasets and create reports based on certain criteria, that includes both predefined and ad hoc reports.	M	E		CU	VisualVault Global Services included an ecosystem report writer. Our report writer enables OMP to generate ad-hoc and scheduled reports based on any data set that is integrated with our platform.	P
2	Proposed system provides the ability to a user with appropriate user permissions to build queries, retrieve data and produce reports based on defined criteria.	M	E			VisualVault's ECM Global Service is designed to address all requirements related to this requirement. This is standard out of the box functionality.	P
3	Generated reports can be exported to Excel, CSV, TXT, Word and PDF formats.	M	E			Outputting report data is standard with these formats	
E.	Inventory Tracking Data Points:						
1	Proposed System allows via user interface or automated data interface input of Licensee data for all types of marijuana establishments. For each inventory transaction listed below the following information will be recorded: tag or label ID and the date and time of the transaction.	M	E			VisualVault's iForms are more than just an easy to use form tool. iForms are used throughout the platform to allow users to easily enter the data required. Think of Turbo Tax where screen after screen is presented to easily walk the user through the process to gather all information. That is how iForms will work for the Seed-to-Sale program. License data screens will walk the user through the process. iForms are dynamic and new fields appear or not based on previous answers.	like turbo tax P
2	*View/Search.* Proposed System includes search functionality to allow users to search for inventory items by entering a set of search criteria parameters and display the results in tabular form.	M	E			View, search is part of VisualVault's ECM functionality. This is a strength of the VisualVault platform.	P
3	*Receive Inventory.* System will include functionality to allow input, tracking, reporting, and storage of information about marijuana or marijuana products received at Licensee facilities from other Licensees. Data input may include, but is not limited to, the following fields: Receipt Date, Received By, Source Licensee Name, Source License Number, Order Number, Items shipped and/or received information; including but not limited to Product ID, Product Name, Batch Number, Weight, and Quantity.	M	E			This requirement is also managed through our ECM functionality. Input is achieved using iForms. Tracking by unique ID and meta data is standard functionality. Our central repository creates a single location to find all related content to one or multiple files based on OMP business rules. iForms will be configured to accept Receipt Date, Received By, Source Licensee Name, Source License Number, Order Number, Items shipped and/or received information; including but not limited to Product ID, Product Name, Batch Number, Weight, and Quantity and other required data.	M - only input for plants
4	*Add/Edit Location.* System will allow input of user defined inventory locations within an organization, including but not limited to cultivation room, harvesting room, curing room, packaging area, storage area, and retail area.	M	E			Inputting user-defined data inventory locations within an organization will include but not limited to cultivation room, harvesting room, curing room, packaging area, storage area, and retail area.	P
5	*Add/Edit Product Type.* System will allow input of product types. Inputs may include fields including but not limited to product name, product type, product ID, and units of measure.	M	E			Product types are just another data field that will be entered on an iForm. Data fields can include the all the fields listed.	P
6	*Create the Work Order/Product Batch.* System will allow for products to be compounded/processed into new products. Inputs must have sufficient information so that they can be traced back to their origin.	M	E			VisualVault uses our iForms to collect all data and business rules to determine what is to tracked through the entire process.	P
7	*Internal Transfers.* System will allow input of inventory transfers between locations within licensee's premises.	M	E			VisualVault uses our iForms to collect all data and business rules to determine what is to tracked through the entire process.	M - only manual entry
8	*Dispose Inventory.* System must allow input of inventory adjustments, such as disposal, waste, theft, failure to grow or seizure by law enforcement. System must automatically notify OMP every time an entry like this is made into the system.	M	E			VisualVault uses our iForms to collect all data and business rules to determine what is to tracked through the entire process. VisualVault will use business rules to auto notify when an adjustment of this nature is entered into an iForm.	
9	*Transfer to another Licensee.* System will allow input of inventory transfers between Licensees.	M	E			VisualVault has several methods to use to enable transferring inventory. We will discuss with OMP to determine the way that best meets this requirement.	Q
10	*Testing*						
10.1	The System must be able to record transfers of samples to a licensed testing facility. Input may include fields including but not limited to: date of transfer, transferred by, source license number, testing facility name, testing facility license number, OMP agent name, product ID, product name, lot and/or batch number, and quantity. Test results for any Batch must be accessible by OMP and the Licensee. The System must allow OMP and Licensees to search, upload, and download test results in PDF, Excel and/or other document formats.	M	E			VisualVault iForms will record all data on samples including each field listed. When a sample is transferred, we make the adjustment on the iForm and it auto updates VisualVault's DB.	P
10.2	The System must have the ability to prevent a testing facility from making any new entries if the license information indicates that the testing facility's license or certification has expired or has been revoked.	M	E			VisualVault can use date fields as one of the fields used to determine if a license is valid. If a date passes, the system will auto lock the ability to update the record. Notifications can be sent before this occurs to the license holder and staff to minimize this occurrence. A notification can also be sent once this does occur directing the licensee to take immediate action.	I
10.3	The System must be configurable to include different test fields and testing methods, so that the testing facilities are able to enter their results against each test type. The system must have the ability to prevent the testing facility from entering results for a certain test type, if their certification has been revoked for that specific test field.	D	E			VisualVault is easy to configure. iForms and iForm template builder enable OMP system admins to change and add fields to ensure we continue to capture all data required should changes occur. All required test fields will be included in the initial build out.	P

GRM

11	*Trip Tickets.* System will provide functionality for medical and adult use marijuana establishments to create trip ticket documents. Trip tickets will be created and tracked by the System. Input data may include, but is not limited to: ship from name, license number and route description. For each item include destination address, destination name, license number, address, product description, product ID and batch number, quantity and units of measure, departure time and arrival time. Trip tickets will be used as shipping documents for transfers between locations within an organization or sales between Licensees.	M	E			iForms will be used to create trip ticket documents. When a trip ticket is generated, the ticket can be easily tracked within the system using one or multiple unique fields on the ticket including the unique ticket number.
12	*Retail Sales Transaction Data:* Licensee retail sales transaction data must include but is not limited to: time and date of sale, license number, order number, sales items, price and quantities. For medical marijuana and medical marijuana products sales transaction data must also include the qualifying patient ID number. Transaction data must include unique transactions for sales, refunds, voids, adjustments, etc.	M	E			As stated on several items previously, VisualVault's iForms enable us to capture data elements. Business rules can be linked to each field to build in the dynamic aspect OMP needs. Business rules also are used in our workflow to determine proper routing and other functions.
13	Taxes. System will allow Licensees to generate excise tax reports for the purpose of satisfying reporting requirements to OMP.	M	E			
14	*Inventory Adjusts.* Proposed System provides functionality to allow OMP System Users to indicate inventory items have been seized by OMP.	M	E			A "seized" field will be included to enable OMP to designate inventory that fits that description. Business rules may then branch other notifications or other associated actions.
15	*Samples.* System must have the ability to track samples of Marijuana and/or Marijuana Products between Licensees. Input may include, but is not limited to, the following fields: date of transfer, manufactured by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity.	M	E			Tracking an "object" in standard VisualVault functionality. In this case, the object is a sample between Licensees. The data fields listed will be used.
B.	**Cultivation Facility Inventory Tracking Requirements:**					
1	All cultivation of Marijuana will be performed in a Licensed Cultivation Facility. System will allow data input of inventory transaction information via user interface or automated interface.	M	E			This requirement highlights the benefits of Community Licensing. Community Licensing provides a license for all involved in the Seed to Sale program. Cultivation Facilities will log in, be verified, and the input screen for inventory transaction information will provide the data required data fields.
2	Proposed System allows tracking of clones and seedlings by strain/variety until moved to the immature plant growth step, where the plants are then assigned a Unique Plant Identifier.	M	E			Tracking an "object" in standard VisualVault functionality. In this case, the object is clones and seedlings. The data fields listed will be used.
3	The System will allow the addition of plant inventory items. Inputs may include, but are not limited to, the following fields: strain, plant ID, status in production cycle, date, and added by. In addition, an attribute will be provided to allow indication of whether the plant is a seedling, clone, or mother plant.	M	E			Plant inventory items will be a first class set, be added at anytime. The fields will be configured using an iForm.
4	Proposed System will allow tracking of marijuana plants through growth stages: clones/seedlings, immature plants, flowering mature plants.	M	E			Tracking an "object" in standard VisualVault functionality.
5	The System will track transfer of plant inventory between growth stages and locations. Data input may include but is not limited to: transfer date, transfer to location, order number, list of plants transferred.	M	E			Tracking an "object" in standard VisualVault functionality.
6	Proposed System allows tracking of the daily application of fertilizers, pesticides, and any other compounds and/or products applied to each individual plant.	M	E			Tracking an "object" in standard VisualVault functionality.
7	Proposed System allows tracking of marijuana harvesting and processing of plant products including, but not limited to: harvesting, batches, drying/curing stage, packaging, and storage.	M	E			Tracking an "object" in standard VisualVault functionality.
8	Harvested plant material will be weighted at each stage of the harvesting and processing of plant products. Producers may weigh plants wet or dry/cured. Data input may include fields including, but not limited to: strain, product name, product type, product ID, lot number, Unique Plant identifier, quantity yielded, and units of measure.	M	E			iForms will be used to capture the data listed in this requirement.
9	System will track packaging of harvested Marijuana. Data may include, but is not limited to the following fields: strain, product name, product type, product ID, lot number, Unique Plant Identifier, net package weight and units of measure.	M	E			Tracking an "object" in standard VisualVault functionality.
10	Producers may package and sell Marijuana on a wet or dry basis. To facilitate the tracing of product inputs back to their origin, the inventory of each package will be tracked by the Product ID and a Batch Number. Data may include but is not limited to: strain, product name, package ID, Unique Plant Identifier for each plant included in the Lot, weight and other units of measure.	M	E			Tracking an "object" in standard VisualVault functionality.
C.	**Manufacturing Facility Inventory Tracking Data Requirements:**					
1	Product Manufacturers will process, package, and label Marijuana and Marijuana Products for sale to Marijuana Retail Stores and other marijuana establishments. Marijuana Products contain Marijuana or Marijuana extracts and are intended for human use including but not limited to edible products and non-edible products. System will allow via user interface or automated data interface input of inventory transaction information.	M	E			Input of inventory transaction information is easily completed using iForms and will include all fields. Once the data is entered, the user's dashboard graphically presents information in multiple views.
2	Proposed System tracks processing events, including but not limited to, process and yield in weight or volume, lots and/or portions used to create a batch of extract and individually packaged unit of marijuana, extract batches used to create a batch of marijuana product, and final yield of batch.	M	E			Tracking an "object" in standard VisualVault functionality. The listed events will be used to track events.
3	Proposed System tracks marijuana disposal including the following data fields: usable plant material, net weight and units of measure for all plant material, extract, and marijuana product, and reason for disposal. This should trigger an automated notification to OMP.	M	E			Tracking an "object" in standard VisualVault functionality. A business rule will trigger an automated notification to OMP when the disposal field is activated.
D.	**Retail Store Inventory Tracking Requirements:**					
1	Retail Stores will sell Marijuana, Marijuana Products to retail stores to persons twenty one (21) years of age and older. System will allow via user interface or automated data interface input of inventory transaction information.	M	E			Retail stores will have access based on OMP's business rules to enable store owners to input and view inventory transactions.
2	For registered qualifying patients of Medical Marijuana Program, the system will allow entry and validation of the patient's registration number.	M	E			Validation of data entered is standard VisualVault functionality.
E.	**Audit/Investigation Reporting:**					
1	The System will provide robust ad hoc and pre-defined reporting functionality for OMP to determine compliance with Maine statutes and rules for Medical and Adult Use marijuana.	M	E			VisualVault offers a robust reporting module to generate standard and ad-hoc reports. Ad-hoc reports can easily be generated using our wizard that walks a user through the process to create reports. Standard reports will be initially created by VisualVault. OMP system administrators can easily make changes to reports or create new reports as reporting requirements change and evolve.

GRM

2	The System must be able to collect and summarize to report format, data for various readiness points in the processing of Marijuana products.	M	E			This is standard VisualVault functionality.
3	The reporting functionality must be capable of reporting of tracking and transaction information through the entire chain of custody.	M	E			As part of the VisualVault platform is our Enterprise Content Management (ECM) suite of services. Gartner placed VisualVault in this year's Magic Quadrant for ECM solutions. Our ECM functionality provides complete life cycle management on every object (data and documents).
4	The reporting functionality must provide the ability to analyze data and cross reference among different stages of marijuana grow cycle within vertically integrated marijuana establishments, as well as among different types of marijuana establishments.	M	E			VisualVault offers an extensive data analytic capability to enable our clients to analyze data. OMP will be able to gain greater insight into Key Performance Indicator (KPI) information. Additionally, with Community Licensing, OMP can provide similar analytic and reporting capability to the community of users to allow them to also have the information they need to improve operations.
5	The reporting functionality will be capable of reporting over all database tables and fields within the System.	M	E			We are fully compliant with this requirement.
6	The reporting functionality will allow OMP to define new reports and will be enabled without assistance or ongoing support from the Awarded Contractor.	M	E			VisualVault offers a robust reporting module to generate standard and ad hoc reports. Ad hoc reports can easily be generated using our wizard that walks a user through the process to create reports. Standard reports will be initially created by VisualVault. OMP system administrators can easily make changes to reports or create new reports as reporting requirements change and as such, OMP will not need to contact VisualVault for any report creation/changes.
7	The System will provide functionality to export report data to variety of formats including but not limited to: Microsoft Excel, csv, .txt.	M	E			OMP can export data in any standard format.
A.	System User Access:					
1	The System must be configurable to provide appropriate levels of user access, permissions and visibility based on user groups/roles, such as Department system users and industry licensees.	M	E			This requirement is a key strength of the VisualVault platform. VisualVault is designed to be configured. Forms, workflows, user content will be configured to OMP specific requirements that have been listed in this document.
2	The System must be equipped with internal software security to avert unauthorized access to functionality and data.	M	E			VisualVault places the highest focus on system security. VisualVault does have various security running within our platform to deny unauthorized access. Our security is documented and will provide to OMP upon request.
3	The Department administrative users will have the ability to register through system functionality.	M	E			Yes, registration will be performed within the system for Depart. Admins and can be extended to the community of users as well if OMP chooses to do so.
4	The administrative level permissions for Licensee administrators will be limited to granting access to employees only for that licensee establishment.	M	E			OMP business rules will be used to determine who has access. We will work with OMP to determine by groups, who has what rights. Typically we use sign-on credentials to auto assign user rights.
5	Proposed System will provide the ability to Licensee administrators to control employee access and visibility to types of activities and functions in the system.	M	E			VisualVault is fully compliant with this requirement.
6	Proposed System must be configurable at granular access level in reporting functionality based on user groups/role.	M	E			VisualVault is fully compliant with this requirement. We will configure access levels to reporting based on user credentials
7	Proposed System must be configurable at granular level of access to licensee data.	M	E			VisualVault is fully compliant with this requirement. We will configure access levels to licensing info
K.	**Audit Trail:** The System will provide full audit trail of all updates made to application data. The audit log will include date of change, user, type of change and original and changed values.	M	E			This is a strength of the VisualVault platform. VisualVault was originally designed to be a compliance tool for medical manufacturing companies. As such, VisualVault records every touch, action, activity that occurs within the system and is available to be used for auditing all aspects of the system.
L.	**Data Storage Requirement:** The selected vendor will store all system data and reports. The data hosted and stored by the contractor is sole ownership of State of Wales. The vendor must provide all data to the Department upon request.	M	E			This is a strength of the VisualVault platform. As previously stated, VisualVault has a robust ECM capability. A robust central repository is core to VisualVault. VisualVault will become the central repository for all data and documents associated with the program.
M.	**Service reasonably Reliability**					
1	Proposed System is fully operational and will remain operational at least 99.95% of the time 24 hours/day, 7 days/week.	M	E			VisualVault has read and agrees to this requirement.
2	The selected contractor must provide technical service contact information for reporting problems, such as outages and connectivity issues.	M	E			VisualVault has documented procedures for this and will provide them to OMP upon request.
3	The selected contractor must provide assistance to Licensees, ALMS, OMP staff and data warehouse in resolving connectivity and download/upload issues.	M	E			VisualVault has read and agrees to this requirement. We price ourselves on the level of support we provide our clients.
N.	**Data Upload Requirements:**					
1	Proposed system allows users to verify and correct uploaded data before posting to the System	M	E			All data being entered can be verified. VisualVault can use a business rule that does not allow a user to save data without clicking on a warning recording them to verify data. In addition, as data is being entered, it can be auto verified and validated against business rules to improve accuracy and speed.
2	Proposed system allows users to correct posted information.	M	E			VisualVault provides the ability to edit data. However, VisualVault is a true archive. Therefore, the edited information is saved as a revision to the original data set and records the time, date, and person making the changes for proper governance.
3	Proposed system allows users to manually enter data and input screens, as an alternative to uploading data.	M	E			Standard functionality.
O.	**Data Download Requirements:**					
1	Proposed System allows for the downloading of predefined and ad hoc reports determined by OMP.	M	E			VisualVault is designed to accept downloaded data, documents, reports, etc. from systems we are integrated with as well as manually downloading "content" through an easy to use drag and drop function.
2	System downloads will be transmitted over an encrypted secure connection.	M	E			All content (data and documents) are encrypted at rest and in transit.
P.	**System Alerts:** Proposed System allows OMP to manage alerts and notifications, defining timeframe levels and selecting recipients.	M	E			VisualVault is fully compliant with this requirement and will use OMP business rules to align these functions with your processes.
Q.	**Data Retention Policy:** Data collected by the System must be available for a period of seven (7) years. Upon retention period completion, data must be archived to permanent storage before it gets removed from the system.	M	E			VisualVault's ECM suite of services provides a full records retention function. We will work with OMP to determine the taxonomy of files/users and determine the retention period for the files and drawers to individual documents should OMP require this.
R.	**Disaster Recovery:** Proposed System has a disaster recovery plan which includes off-site back-ups and System restoration within twenty four (24) hours.	M	E			VisualVault is hosted in Amazon's AWS Cloud. As are their redundant sites (East Coast, West Coast) locations. We also have documented procedures for disaster recovery and off-site backup which we will provide upon request.
S.	**Security:**					
1	Proposed System's security model limits licensee's data access and visibility to data collected for that individual licensee and allows OMP to view data for all licensees based on specified search criteria. Encryption occurs both at rest and in flight.	M	E			VisualVault is compliant on all listed requirements. VisualVault limits access typically by log in credentials. We have multiple approaches to limit access so we will work with OMP to choose the approach you prefer. VisualVault can restrict what can be viewed within a file as well. Encryption at rest and in transit is standard with VisualVault.
2	Bidder shall provide documentation outlining security controls used to isolate application services and data if proposed solution operates in a multi-tenant hosted environment.	M	E			VisualVault has this documentation and will provide it upon request.
3	Bidder shall maintain and make available for review upon request documentation regarding physical security controls, logical security controls, data controls and human resource controls.	M	E			VisualVault has extensive documentation on all these requirements and will provide them upon request.

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Bio-Tech Medical Software, Inc. dba BioTrackTHC
DATE: 4/19/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

****

Instructions: *The purpose of this form is to record proposal review notes written by* ***individual*** *evaluators for this Request for Proposals (RFP) process. It is* ***required*** *that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

****

Individual Evaluator Comments:

Organizational Q + A

Q? SOC-II - Type II - mentions next phase - was it done?
1D, Government programs
Library Barcode over RFID — Amazon Cloud
(P) Marijuana 7 years, Government - 5 years

Projects
(P) 1. Illinois - Medical
Applicable - good (Fast deployment)
2. New York - medical
(M) 217 days
a bit long
applicable project
3. Delaware - Medical
applicable solution

(M) All listed projects are medical only

(P) Solid staffing - (in Proposed Services, p44)

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Bio-Tech Medical Software, Inc. dba BioTrackTHC   P2
DATE: 4/19/19
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EVALUATOR DEPARTMENT: OIT/PMO/OMP

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Individual Evaluator Comments:

Proposed Services   (P) Amazon Cloud   1
(P) ease of use
(P) SaaS, COTS   (Q) Print ready page
Best of Breed identification - holograms / QR codes
proof of origin - not unique ID
(Q) U.I.D. Unique identifier   2
- entry + assigned
(P) Scalable   Barcodes (see p 49)
Good performance stats
DR / Data recovery   5
Reports / Remedies
(P) < 1 hr RTO
(P) Notification for customer
(P) Security - solid   9
(Q) Good vulnerability scanning, but SOC2, type 2?
(P) Audit access restrictions   12
(P) Licensing
(P) Gov Cloud encryption   P Solid API documentation
(P) Data exchange
(P) Dev + Upgrade ...
training - looks like will be good, no samples shown
(P) good change management plan

(Q) schedule - good/fast - but not much time for enhancements/customization

- **Objective C:** The **Helpdesk Service Time** shall be computed as the average elapsed time from when a user first speaks to a Helpdesk resource until the user service is provided, and the user disconnects. BioTrackTHC shall use a helpdesk tool to measure and report the elapsed time.
- **Objective D:** The **Helpdesk Resolution Percentage** is the percentage of all Helpdesk calls resolved during the first call (QFC) divided by the total of all Helpdesk calls (QTC). BioTrackTHC shall use a helpdesk tool to measure and report the percentage. *(QFC) / (QTC) = % of Calls Resolved on First Call*

BioTrackTHC has maintained the highest customer retention rate in the industry at 89% over the last seven (7) years through its excellent customer service and understanding that, in any service related business, customers always come first. BioTrackTHC's approach includes a JIRA ticketing system in concert with Salesforce, which allows both submitters and management to accurately assist and track tickets as they move through the support process. In addition, the Company has also utilized comprehensive telephone support in conjunction with its ticketing system for maximum availability. Inbound calls are still logged within the ticketing system to ensure problem and inquiry resolution metrics are collected; regardless of the medium utilized. BioTrackTHC has segmented its support staff into levels and has also encouraged varying levels of specialization. For example, while each support member is familiar with the System in general, certain support individuals can choose to specialize in hardware integration, while others can choose state or jurisdiction specific associations.

2. Business and Technical Requirements

	Marijuana Seed-to-Sale Tracking System Requirement	Mandatory / Desirable	E	CO	CU	Explanation
A.	**Central Inventory Management System:**					
1	Proposed System provides a central data management system capable of storing inventory and transaction data for all Marijuana Establishment Licensees in State of Maine.	M	✓			BioTrackTHC's Medical Marijuana Seed-to-Sale Tracking System has been developed on PostgreSQL, a powerful, open source relational data management system with more than fifteen (15) years active development and a strong reputation for reliability, data integrity and correctness. As an enterprise class database, this powerful central data management System is capable of storing any data set the OMP desires which includes, but is not limited to, inventory, retail point-of-sale transactions, and all data for all marijuana establishment licensees from seed-to-sale. BioTrackTHC's centralized marijuana data management System is the proven backbone of all BioTrackTHC's government clients. The Washington Marijuana Tracking System, developed and implemented by BioTrackTHC three (3) years ago, is battle tested, having successfully tracked over 6.4 million registered plants, and for the 2017 fiscal year, almost $2 billion dollars in marijuana transactions. BioTrackTHC's private industry inventory and point-of-sale data management solution for marijuana establishment licensees has been actively utilized by for nearly seven (7) years.
2	The system assigns a globally unique, non-repeating identification number for every plant and inventory item recorded in the system.	M	✓			BioTrackTHC's proposed solution will employ a best of breed model for issuing unique identifiers to licensees. The solution is designed to prevent counterfeiting, provide proof of origin and maintain unique identifiers that ensure seed to sale tracking through the supply chain all the while not impeding optimum licensee workflow. The bullets below demonstrate unique identifiers consistent of an 18-digit alphanumeric code that is designed to achieve this goal with both a machine readable and human readable format. • The first digit will be either M or R. This allows for the agency to separate medical cannabis from recreational cannabis. • The next 6 digits will be an alphanumeric string that defines the license number of the licensed facility that produced the current product. • The next two digits represent the county in which the cannabis was originally grown in, as defined by the agency. • The next two digits represent the inventory type of the current plant, inventory or derivative product. • The final seven digits represent the specific ID number of the product.

3	The system assigns the identifier to prevent duplication of identifiers by licensees, providing for reliable traceability.	M	✓			The System issues the identifier (i.e., the identifier is not defined by the user) to prevent accidental or intentional identifier duplication by the user, and the 18-digit length of the identifier ensures scalability and longevity; the System could generate 1,000,000 identification numbers per second and it would not run out of unique identifiers for over 317 years. Additionally, the System is structured so that identifiers are unique globally; there can be no duplicate of the BioTrackTHC System identifier anywhere the BioTrackTHC solution is used, even in other states that utilize BioTrackTHC's System for government agencies or BioTrackTHC's Enterprise System for businesses.
4	The system is capable of using US customary and metric units for data entry, tracking and reporting.	M	✓			Quantities can be collected in grams, milligrams, ounces, or pounds. Although the System allows the licensee to enter data in their own format, for internal consistency, the System stores all values internally in grams. The System also automatically provides conversion capability between the two separate units of measurement (e.g. 28.3495 grams will automatically convert into 1 ounce). The System has been configured to handle tracking in both formats.
B.	**Web Application Interface:**					
1	The system provides a secure web-based user interface for data entry, display, and reporting by Marijuana Establishments licensed in State of Maine.	M	✓			BioTrackTHC shall provide access to secure web-based services to OMP users for the purposes of data entry, display, and reporting (regulatory staff, laboratories, and licensee users), similar to what has been provided to all of BioTrackTHC's government clientele. For more information on this business requirement, please see subsection *1.6.2 – Interface Security* and *1.7.1 Data Transmission/Upload through the API* of this response.
2	The system provides a secure user interface for OMP employees for user and system administration, and retrieval and tracking of inventory and transaction data.	M	✓			The proposed System comes out-of-the-box with a secure web-based State interface for the display of licensee sales, inventory, production lifecycle events, and submitted document information, as well as for user administration and system administration. Also, a recent enhancement to the System allows for approved OMP staff with proper permissions to view a read-only mode of the secure licensee web-based interface so that they may view the data as the licensee sees it. This feature has proven to be a significant help to WSLCB personnel in understanding licensee data as well as in assisting licensees identify issues and clean up submitted data. These web-based interfaces are a key feature of the Systems that BioTrackTHC has provided to all of its past and present government clients.
C.	**Data Exchange/Interface:**					
1	Provides secure connections for data exchange to and from ALMS .	M	✓			The BioTrackTHC team's application programming interface (API) is the first and remains the only publicly available documented seed-to-sale electronic data exchange for marijuana state tracking systems. As such, it is also the only API that has successfully undergone an application assessment and technology functional audit performed by an independent auditor. Per the audit report, the independent auditor Kirkpatrick Price attests that all API functions tested "passed, working as documented". The full audit report may be furnished upon request. As of the writing of this proposal, most of the major companies specializing in marijuana tracking and marijuana point-of-sale software have declared successful integration with the BioTrackTHC API. Therefore, not only has this API been both battle-tested in a live environment and independently audited, the OMP may rest assured knowing that nearly any marijuana inventory/point-of- sale system that a Maine licensee would purchase, should already be compatible with the State's System.
2	Provides secure connections for data exchange to and from OMP data warehouse.	M	✓			Please see the responses to C.1 and C.4 and *1.6 – Data Exchange*. The BioTrackTHC team possess a secure, battle-tested API and has extensive experience integration the proposed solution with other required state software applications.
3	System includes web services, uses XML based open standards.	M	✓			The BioTrackTHC team's publicly available APIs, both in XML and JSON formats, may be found on the World Wide Web at the company's website (www.BioTrack.com). Network security protocols such as SSL and HTTPS are employed to ensure all communications remain encrypted over the network. Each BioTrackTHC client utilizes the latest Secure Socket Layer (SSL) encryption technology to ensure a secure operating experience. BioTrackTHC's solution provides secure encrypted access for State users as

						well as licensee users accessing System via the public internet. Regardless of network connection type—wired or wireless, commercial or government ISP—the connection state is always encrypted end-to-end from browser to web server using SSL. Database connections are also encrypted via standard authentication + SSL. At no point in the network path will data be unencrypted. Database connections are allowed only between the application and the database. System administration access is protected with strong authentication.
4	Provides secure web service API for integration of 3rd party information systems.	M	✓			The system comes equipped out-of-the-box with this functionality. Please refer to the response in section 1.7.1 – *Data Transmission/Upload through the API* for more detail.
5	Provides validation and alerts/notifications for validation checks on Licensee data submitted through data interface.	M	✓			The System ensures validation feedback for each function call and data submission provided by the licensee via web service. Such validation code, formatted in XML or JSON per the API, shall provide the System with a success or fail scenario easily disseminated by State monitors. The licensee graphical interface formats this data for users who utilize the free web-based interface in a user-friendly manner. All API function calls received by BioTrackTHC's System receive a return which always includes a success parameter equaling "1" or "0". If the submission is successfully received by the System, the success parameter will equal "1" and all other relevant parameters associated with the call will be returned as well (e.g., transaction id, session time, new product id, etc.). If the submission contains errors and is therefore not accepted by the System, the success parameter will equal "0" and the return will include an error parameter that provides guidance as to the cause of the error (e.g., missing required field, invalid value, etc.). The sender may then correct the error and resubmit. As with any electronic application, user errors and mistakes can occur. With the BioTrackTHC System, users can easily correct mistakes in a timely manner. One example of this is if a user accidentally rings up the wrong quantity or amount of a product; the system allows for said user to void the transaction and re-complete said sale. In the case of transaction voids, no data is ever actually deleted. Instead, transactions are toggled with a deleted field that indicates the void but does not remove the data. Thus, for normal reporting this data will not display, but specialized reports can cross-reference this voided data. In addition, all inventory dispensed during said voided transaction is also returned to stock. In this regard, the concept and allowance of voided transactions does not increase the possibility of diversion as the inventory would still be fully accounted for. Additionally, the System was built from the ground up for accurate chain of custody tracking. The system makes heavy use of PostgreSQL triggers and rules to accurately record all data actions into duplicated tables and assigns a unique action attached to every entry. In addition, as can be found throughout many places within BioTrackTHC's independently audited API documentation, every transaction receives a timestamp and a unique, non-repeating identifier that allows every action to be tracked. This is the case for all of BioTrackTHC's existing deployed systems; namely, over 2,300 business systems and the state tracking systems for all of BioTrackTHC's government clients. A non-exhaustive list of functions for modifying or correcting previously posted information includes, but is not limited to: • employee_modify • vehicle_modify • plant_room_modify • inventory_room_modify • plant_new_undo • plant_destroy_schedule_undo • plant_harvest_schedule_undo • plant_yield_modify • plant_modify_inventory_adjust

						• inventory_adjust_usable • inventory_triptickets_modify • inventory_triptickets_void • inventory_triptickets_void_items • inventory_transfer_outbound_modify • inventory_qa_sample_void • inventory_modify • inventory_convert_undo • sale_void • sale_modify Furthermore, the System will also need to account for inventory variances, discrepancies and adjustments. BioTrackTHC's platform already provides methods to adjust inventory on an item per item basis with a requirement for detailed descriptions on any reported variance. The System also provides for a full inventory audit interface that can allow a user to step through, item by item, and perform a full audit directly through the traceability system.
D.	**Reports:**					
1	Proposed system has the ability to download and search datasets and create reports based on certain criteria, this includes both predefined and ad hoc reports.	**M**	✓			BioTrackTHC's reporting functionality, capable of reporting over all database tables and fields captured by the System, will allow the OMP to utilize the full wealth of captured data, and thereby facilitate the effective administration, monitoring, and enforcement of the industry pursuant to Maine laws set forth in Maine's Medical Marijuana Program (2009) as amended by L.D. 1539, and the Marijuana Legalization Act as amended in 2018 by the passage of L.D. 1719. The ability to easily extract data at any point in the product lifecycle (e.g., by weights, discreet quantities, strains, locations, item type, laboratory test results, adjustments and deviations, input characteristics, etc.) maximizes the utility of the reporting function and the ability of the State to observe marijuana operators in real time; allowing for the facile enforcement of regulations, the collection of tax revenues, and the promotion of public safety. The proposed System's licensee interface and OMP interface uses interactive jQuery to facilitate turn-key data entry and streamline lookups for the updating of previously stored information. For such a lookup, the system begins searching as soon as the user begins typing; this is case insensitive and makes searching and partial matching incredibly simple. All data captured within the database tables (over 1800 datapoints) are fully searchable and can be displayed by using the built in reports or by creating an ad-hoc report.
2	Proposed system provides the ability to a user with appropriate user permissions to build queries, retrieve data and produce reports based on defined criteria.	**M**	✓			In addition to improving process efficiency, another goal of the proposed BioTrackTHC system is to provide **meaningful and reliable data** to empower the user to monitor activity and make informed decisions. This has recently been an issue of concern with regard to other State marijuana programs currently active within the US.[25] The BioTrackTHC system, informed by nearly five years of hands-on marijuana specific experience, is the most accurate marijuana patient management and inventory tracking solution for the marijuana industry today, gathering real-time marijuana location, growth-phase, production-phase, laboratory testing, transportation, destruction, and point-of-sale data. In conjunction with the medical provider and program participant registration and tracking features included in the full environment, the BioTrackTHC system is the most comprehensive marijuana program data capture platform in the world. The BioTrackTHC team understands that data without tools for analysis lacks value, so it comes loaded with over 50 pre-configured reports specifically designed for government agency oversight and over 100 commercial reports that can easily be converted into program-relevant reports, all of which are also augmented with the most comprehensive and flexible report creator available to this industry. All reports are

[25] https://oregonsos.com/blog/2019/1/29/audit-of-oregons-framework-for-regulating-marijuana

						available in pdf, html, txt, word, and csv formats. The BioTrackTHC development team will work closely with MCP staff to determine additional reporting needs and to create supplementary useful standard reports. BioTrackTHC also included custom report creator training within the Company's Training Plan, so MCP staff can maximize the usefulness of the report creation tool. For example, the WSLCB has successfully used this custom report creator to produce and store more than 25 reports that did not come pre-loaded in the system. BioTrackTHC's reporting functionality, capable of reporting over all database tables and fields captured by the system, will allow the MCP to utilize the full wealth of captured data, and thereby facilitate the effective administration, monitoring, and enforcement of the industry pursuant to the Lynn and Erin Compassionate Use Act. The ability to easily extract data (1) at any point in the program participant registration process, (2) at any point in the marijuana product lifecycle status and activity (e.g., by amounts, strains, locations, laboratory test results, adjustments and deviations, dispensed medication, etc.), and (3) for any program participant demography and activity (qualifying conditions, purchase limits and purchase history, medical provider certification volume, etc.), maximizes the utility of the reporting function and the ability of the MCP to observe all program participants, marijuana production, and dispensation activity in real time, allowing for the facile enforcement of regulations, the expediting of program enrollment issue identification and resolution, the prevention of diversion, and the promotion of public safety.
3	Generated reports can be exported to Excel, CSV, TXT, Word and PDF formats.	M	✓			BioTrackTHC's proposed solution complies with this requirement. All reports are available in pdf, html, txt, word, and csv formats as described in the previous response to line item 2 above.
E.	**Inventory Tracking Data Points:**					
1	Proposed System allows via user interface or automated data interface input of Licensee data for all types of marijuana establishments. For each inventory transaction listed below the following information will be recorded: tag or label ID and the date and time of the transaction.	M	✓			BioTrackTHC's proposed solution captures over 1,800 data elements throughout the entire product lifecycle: unique identifiers, propagation, growth, harvesting/curing, lotting and batching, storage, movement, conversions, packaging, sampling, laboratory testing, transportation trip tickets, custody transfers, sales, destruction, and adjustments just to name the key events. The data elements themselves range from item information (quantities, strains, current location, laboratory results, etc.), to item history (user interaction, parent item unique identifier, harvest date, quantity increases/decreases, child item unique identifier, etc.), to licensee information (licensee#, address, etc.), to licensee staff information, to licensee vehicle information (make, model, plate, VIN, etc.), and the list goes on. A full list of these datapoints and can be provided to the OMP upon request. In addition, as can be found throughout many places within BioTrackTHC's independently audited API documentation, every transaction receives a timestamp and a unique, non-repeating identifier that allows every action to be tracked, down to the user that executed the transaction. Specifically, every function affecting an inventory item requires the unique identifier of the inventory item and will include the date and time the function was performed on that inventory item. This is the case for all of BioTrackTHC's existing systems deployed, which includes over 2,300 licensed facilities globally, as well as all other government client systems deployed by the BioTrackTHC team.
2	***View/Search.*** Proposed System includes search functionality to allow users to search for inventory items by entering a set of search criteria parameters and display the results in tabular form.	M	✓			The BioTrackTHC System provides a graphical user interface to easily sort and scroll through inventory. In addition, the end user may use the "plant lookup" and "inventory lookup" features and perform full or partial searches. Search results display in list or tabular form. The user can choose to select the correct match from the results or perform another search, if necessary.
3	***Receive Inventory.*** System will include functionality to allow input, tracking, reporting, and storage of information about marijuana or marijuana products received at Licensee facilities from other	M	✓			As an internal control, the System does not allow a licensee to invent a received shipment. The only way for a licensee to accept new inbound inventory within the System is to accept an inbound transfer from a System-generated trip ticket filed by another state-approved licensee. To record the receipt of marijuana product, the receiving licensee would click on the "I'm expecting an inbound shipment" button. From there, a

	Licensees. Data input may include, but is not limited to, the following fields: Receipt Date, Received By, Source Licensee Name, Source License Number, Order Number, Items shipped and/or received information; including but not limited to Product ID, Product Name, Batch Number, Weight, and Quantity.					list appears that details all of the not-yet-received inbound trip tickets that have been submitted by other licensees for which the receiving licensee is the named recipient. The licensee selects the specific trip ticket that is being reported as received. Next, the receiving licensee confirms item quantities on the receipt confirmation screen. They can choose to accept items, reject items, or partially accept items from that screen (an example of a partial acceptance is when a traceability identifier on the trip ticket is associated with a quantity of 120 packages and the receiver only accepts 80 and rejects 40 of those packages). Once completed, the receiving facility's inventory screen will reflect all items and item quantities for which it took custody. The Receipt Date, Received By, Source Licensee Name, Source Licensee number, Order Number, Items Shipped and or Received Information; including but not limited to Product ID, Product name, Lot Number, Batch Number, Weight, and Quantity, and more are all captured in the product receiving process. All of this data are summarized in various reports, including the Transportation Post Events report, allowing Department staff to properly filter and review data related to product transfers and receipts, including any discrepancies between what the sender reported as shipped and what the receiver reported as received. Adding or removing fields per the State's needs is simple and straight forward. This process is a closed loop process. Because a System-filed and outstanding trip ticket is required for the receipt of inventory, licensees are forced to only accept product that already exists in the proposed System, to only accept product from recognized licensed facilities within the proposed System, and to only accept product that has been recorded as shipped to them. Licensees cannot accept inventory from a non-licensed facility, they cannot accept inventory that does not have an identifier and is not recognized by the proposed System, and they cannot accept inventory not intended for them. Finally, BioTrackTHC's trip ticket and product transfer functionality accepts all of the following transportation information as listed: Ship From Name, License Number, Address and Contact Information; Ship to Name, License Number, Address and Contact Information; Estimated Departure Day/Time and Estimated Arrival Day/Time; Route Description; Driver Information; Vehicle Information; Product unique identifier, product description, product quantity and unit of measure. Specifically, the System enables licensees to generate a State-approved trip ticket with the submitted data, and electronically file the trip ticket to the State. All of the trip ticket data is captured in the System, is reportable against, and the electronically filed trip ticket document is retrievable by OMP employees with the appropriate permissions.
4	***Add/Edit Location.*** System will allow input of user-defined inventory locations within an organization, including but not limited to: cultivation room, harvesting room, curing room, packaging area, storage area, and retail area.	**M**	✓			The System tracks and reports all movement of marijuana and marijuana products within a licensed facility, both physical movements and product lifecycle movements. This includes the plant growing areas and phases; harvesting and curing areas and phases; product processing and packaging areas and phases; storage, retail areas, and other areas and phases. The system allows input of user- defined inventory areas within a production center, including germination and clone room, vegetative/growth room, flowering area, trimming area, curing area, packaging area, extraction area, storage area, quarantine area, retail area, and others. The System enables licensees to logically segregate their plants and inventory by rooms (these do not have to be literal rooms, but rather simply denote a distinct area of organization). The System also enables licensees to move plants/inventory from room to room. As will all other System activity, when a licensee moves plants or inventory from one room to another, the plant's identifier, date/timestamp of the action, the room transferred to, and the user initiating the action are all recorded.
5	***Add/Edit Product Type.*** System will allow input of product types. Inputs may include fields including but not limited to: product name, product type, product ID, and units of measure.	**M**	✓			To ensure consistency of data within a single licensee, the System provides functionality specifically for the creation and editing of plant strains, extract types, and infused product types. Whenever a new item is created, whether a plant item or inventory item, in addition to being provided the new item's unique traceability identifier the user is provided dropdown menus that populate with the plant strains, extract types, or infused

						product types (depending on which is applicable) from the master listing. A new item cannot be created unless the required item characteristic is applied. Once applied to a traceability identifier, the plant stain, extract type, product type, etc. follows that item throughout the applicable remainder of the product lifecycle. Default units of measure are also applied based on item classification (e.g., plants are in discreet units whereas dried trim is in grams).
6	***Create the Work Order/Product Batch.*** System will allow for products to be composited/processed into new products. Inputs must have sufficient information so that they can be traced back to their origin.	M	✓			The System codes each end-product as well as intermediate product type individually, which allows for the conversion process to be correctly monitored. The marijuana product would have to first become an approved intermediate product type (e.g. raw CO2 oil) before it can be made into any end product. A full record of conversion, including the specific batches of material and intermediate products can be pulled through the System's conversion reports. The conversion report explains, in detail, the post and prior product type, post and prior product ID, units of measure of product yield, number of units yielded, component item information for all items containing marijuana products; including product ID, product name, lot number, and quantity. By using our Inventory Forensics Report products can easily be traced back to their source using the unique bar code associated with each product or batch. The System incorporates the industry's most robust inventory classification system, with 32 total classifications (and counting) as of the date of this proposal. As a result, the end user must select from a menu of allowable extracts when converting plant material. The extraction method used is implicit in the type of extract produced and would determine what QA tests would be required prior to additional processing or sale.
7	***Internal Transfers.*** System will allow input of inventory transfers between locations within licensee's premises.	M	✓			The System comes out-of-the-box with the ability to perform inventory transfers between all licensed facilities, including licensed locations within a licensee organization. The transportation trip ticket and transfer functionalities will be used to track data relating to the transfer of all marijuana products within the State of Maine, including cultivation facilities which have also obtained a license to operate a marijuana product manufacturing facility and/or a retail dispensing store on premises; as set forth in the OMP laws and supporting regulations. The system treats intra-licensee transportation trip tickets and transfers almost identically to inter-licensee transportation trip tickets and transfers. The licensee must still generate a transportation trip tickets to document all items and quantities being transferred, and the licensee must still execute an outbound transfer from the sending location and initiate an inbound transfer from the receiving location. The only two differences between an intra-licensee transfer and an inter-licensee transfer are as follows: 1). If the address (street address, city, and zip) between the sending and receiving locations is identical (differences in suite numbers are allowed), then a vehicle does not have to be designated on the trip tickets (e.g., transferring plant material from cultivation site to the manufacturing site, transferring infused edibles from kitchen suite #200 to the retail dispensary suite #300, etc.). 2). The System recognizes that transfer is between locations belonging to the same licensee organization, and so will automatically fix the Sales Price field to $0.00 to prevent the accidental recognition of revenue from an internal transfer. In short, the data captured by the system for an intra-licensee transfer is the exact same as that which is captured for an inter- licensee transfer with the exception of vehicle information and sales price: Ship From Name, Source License Number, Address and Contact Information; Ship to Name, Destination License Number, Address and Contact Information; Estimated Departure Day/Time and Estimated Arrival Day/Time; Route Description (if applicable); Driver Information (if applicable); Vehicle Information (if applicable); Product unique identifier, product description, product quantity and unit of measure.

8	***Dispose Inventory.*** System must allow input of inventory adjustments, such as disposal, waste, theft, failure to grow or seizure by law enforcement. System must automatically notify OMP every time an entry like this is made into the system.	M	✓			The System allows for the adjustment of inventory quantities as the result of both non-sales operational activities (such as disposal, wastage, moisture loss, mistakes, and inventory audits) and external factors (such as theft and seizure by law enforcement). Data captured in the adjustment process includes, but is not limited to: adjustment category, date and time of adjustment, reason for adjustment, unique identifier of the item adjusted, lot number, batch number, and adjustment weight/quantity. As of the writing of this proposal, the adjustment categories include: Theft; Seizure by Federal, State, or Local Law Enforcement; Moisture Loss; Mistake; and Inventory Audit (a loss of inventory was identified through an audit but the actual cause of the loss could not be identified). The Plant Destruction and Inventory Destruction functions are separately identifiable functions—distinct from the Inventory Adjustment function—within the System. Data related to destruction information may include, but is not limited to: unique identifier of the plant or inventory item destroyed (including all of the product-related data such as inventory classification, etc.), date and time of the notice of destruction, date and time of the actual destruction, the amount destroyed, identity of the employee conducting the destruction, manner of destruction, and the reason for the destruction activity. BioTrackTHC recently added to the out-of-the-box system a dropdown menu of department-defined categories for "destruction reason" so that the Department may quickly filter destruction reports by these reasons (e.g., died, infestation, spoilage, waste, etc.). Additionally, though the primary destruction field is free-form text, adding or removing specific fields, pursuant to the Department's needs, is simple and straightforward. Plant Destruction, Inventory Destruction, and Inventory Adjustments automatically trigger the real-time alert feed within the Agency's interface. Additionally, the System can send an automated email alert with the details of the adjustment. Finally, the System's pre-configured reports library contains a set of "Red- Flag Reports" that highlight these events for users to report against whenever they choose. These out-of-the-box "Red Flag Reports" include Destruction reports, Theft History reports, and Adjustment reports— that are filterable by time period, licensee, and enforcement district—that can be generated on the fly by Department staff. These reports specify the number and type of adjustments, thefts, seizures, etc.; the quantity of the adjustment, and the state notes in the free-form description field. The Department can utilize these reports to begin an investigation into licensees or districts with high incidence rates of destructions, adjustments, thefts, seizures, etc.; high quantity destructions, adjustments, thefts seizures, etc.; or both. Note: Because of the audit log, removing any item—including for destruction, theft, seizure, etc.—does not delete any of that item's already submitted data. It simply removes the item from use by the licensee moving forward, and that item will subsequently be identified as having been removed.
9	***Transfer to another Licensee.*** System will allow input of inventory transfers between Licensees.	M	✓			BioTrackTHC's proposed System comes out-of-the-box with the ability to create transportation trip tickets between all licensed marijuana facilities including internal transfers. After a licensee has filed a trip ticket within the System, the originating licensee reports the actual transfer of inventory to the receiving licensee, and the receiving licensee reports the receipt of the transfer. All of the data per the trip ticket then also becomes the transfer data, which does include actual day/time shipped; actual day/time received; originating license number and receiving license number; detail of inventory being transferred including traceability unique identifiers, product type and description, quantity, and units of measure; etc. Submitted data that is out of normal parameters can be flagged for follow-up (e.g. differences between amount reported as shipped and amount reported as received, actual day/time received is more than 24 hours after actual day/time shipped, etc.). Adding or removing fields per the State's needs is simple and straight forward.
10	**Testing.**					
10	The System must be able to record transfers of samples to a licensed testing	M	✓			The System enables the creation of samples to be exchanged between licensees for the purpose of negotiating a sale. In conjunction with the trip ticket and product transfer

	facility. Input may include fields including but not limited to: date of transfer, transferred by, source license number, testing facility name, testing facility license number, OMP agent name, product ID, product name, lot and/or batch number, and quantity. Test results for any Batch must be accessible by OMP and the Licensee. The System must allow OMP and Licensees to search, upload, and download test results in PDF, Excel and/or other document formats.					functionality, the System already accepts the chain of custody and inventory data related to all inter-licensee samples. The licensee selects an inventory item for sampling and creates a sample inventory item. The sample quantity is deducted from quantity of the original inventory item and is given its own unique sample identifier. The licensee then generates a transportation trip ticket in which an appropriate licensee is the destination and the sample item is listed for transport. As described in the transfer trip ticket functionality response and the transfer of inventory between licensee's response, all data captured by the system shall be associated with the sample and its transfer, including but not limited to: date of transfer, transferred by, source license number, testing facility name, testing facility license number, OMP agent name, product ID, product name, lot and/or batch number, and quantity. In addition to providing the global pass/fail indicator for a sample, the system will flag the exact failed component of the product (e.g. microbial, mold, moisture content, foreign matter, etc.). From the State's alerts and reporting interface, designated OMP staff may generate pre-configured reports or generate their own ad-hoc reports to view and analyze testing data. The System allows for all of its reports to be exported into the CSV/XLS, HTML, and PDF and/or other document formats. These, and other events can trigger email or SMS notifications to approves OMP users.
10	The System must have the ability to prevent a testing facility from making any new entries if the license information indicates that the testing facility's license or certification has expired or has been revoked.	M	✓			BioTrackTHC's proposed system provides this functionality out-of-the-box. If a State-approved OMP user suspends or revokes (via the State interface) a laboratory's license, the System prevents users from that laboratory from accessing the System and prevents other State-approved licensees from doing business with that revoked or suspended laboratory in real-time. This functionality is employed by all BioTrackTHC government marijuana tracking clients.
10	The System must be configurable to include different test fields and testing methods, so that the testing facilities are able to enter their results against each test type. The system must have the ability to prevent the testing facility from entering results for a certain test type, if their certification has been revoked for that specific test field.	D	✓			The BioTrackTHC solution proposed to the State of Maine's OMP already comes out-of-the-box with this functionality. In fact, not only does the System allow State-approved OMP staff with proper permissions to deactivate or revoke a user's access to the System, but the execution of this function immediately prevents other State-approved licensed entities from doing business with suspended or revoked licensees in real-time. Additionally, BioTrackTHC's proposed solution provides a web-based user interface for State-approved laboratory facilities to enter the test results associated with each sample for purposes of transparency and accountability. In essence, students don't get to grade their own papers. BioTrackTHC's laboratory testing functionality employs a proactive approach to recalls whereby, marijuana plant, material or product **cannot** reach dispensing location shelves unless it has received the State-approved, full-spectrum and required laboratory testing. If an item fails testing thresholds as required by the State, or the items have not yet received laboratory testing at all, the System prevents those marijuana plants, marijuana materials, or marijuana products from reaching the end consumer. This has been the methodology of all of BioTrackTHC's government marijuana tracking solutions with great success. In fact, in many states that do not use the BioTrackTHC System, there have been several product recalls costing licensees and the regulatory agencies valuable time and resources. Furthermore, if a licensed laboratory testing facility does not have permission to access specific testing parameters, the System will prevent these users from accessing said testing fields and therefore, prevents them from entering that data into the System.
11	***Trip Tickets.*** System will provide functionality for medical and adult use marijuana establishments to create trip ticket documents. Trip tickets will be stored and tracked by the System. Input data may include, but is not limited to: ship from name, license number and route	M	✓			As described above, the trip tickets and product transfer functionality applies to all products tracked in the System, whether marijuana, marijuana infused products, and edibles. As another internal control, the System does not allow a licensee to invent a received shipment. The only way for a licensee to accept new inbound inventory within the System is to accept an inbound transfer from a System-generated trip ticket filed by another licensee. BioTrackTHC's trip ticket and product transfer functionality already accepts all of the transportation information as listed: Ship From Name, Source License

	description. For each item include destination address, destination name, license number, address, product description, product ID and batch number, quantity and units of measure, departure time and arrival time. Trip tickets will be used as shipping documents for transfers between locations within an organization or sales between Licensees.					Number, Address and Contact Information; Ship to Name, Destination License Number, Address and Contact Information; Estimated Departure Day/Time and Estimated Arrival Day/Time; Route Description; Driver Information; Vehicle Information; Product unique identifier, product description, product quantity and unit of measure. Specifically, the System enables licensees to generate a State-approved trip ticket with the submitted data, and electronically file the trip ticket to the State. All of the trip ticket data is captured in the System, is reportable against, and the electronically filed trip ticket document is retrievable by Agency employees with the appropriate permissions. Because the trip ticket and product transfer functionality are seamlessly integrated into the System, only the minimal amount of data entry is required from the originating licensee (e.g., destination license number, product identification number, vehicle identification number, etc.); the System auto-populates the remaining details into the System-generated trip ticket from the related System data (e.g., destination address and phone number; product's type and quantity/weight; vehicle's make, model, and plate number; etc.). This internal control eliminates the majority of data input errors—whether intentional or unintentional—and ensures that only inventory that is documented within the system may be manifested and transported to a licensee that is recognized by the System as possessing an active license. Finally, all transportation trip tickets generated by the System, are also issued a globally unique, non-repeating identifier and imprinted with a barcode out-of-the-box. This enables approved State staff and law enforcement to verify the authenticity and content of a trip ticket. All trip tickets generated within the System can be verified within the State's user-interface.
12	***Retail Sales Transaction Data:*** Licensee retail sales transaction data must include but is not limited to: time and date of sale, license number, order number, sales items, price and quantities. For medical marijuana and medical marijuana products sales transaction data must also include the qualifying patient ID number. Transaction data must include unique transactions for sales, refunds, voids, adjustments, etc.	M	✓			When a licensee user records a retail sale, all inventory data as well as transaction data is recorded. These retail sales data include, but are not limited to: time and date of sale, license number, order number, sales items, price and quantities. For medical marijuana and medical marijuana products sales transaction data must also include the qualifying patient ID number and tax information. The System is robust enough to also include other point-of-sale functionality out-of-the-box such as sales voids, sales refunds, and sales adjustments for errors. The vendor the OMP selects should be able to collect and aggregate retail sales data accurately and efficiently. States that do not use BioTrackTHC's solutions have expressed their frustration with the lack of compliance of their chosen tracking system.[26]
13	***Taxes.*** System will allow Licensees to generate excise tax reports for the purpose of satisfying reporting requirements to OMP.	M	✓			BioTrackTHC's proposed System is currently programmed—out of the box—to track, calculate, and collect tax revenue via excise taxes, per Maine laws and supporting regulations. The system may be configured to trigger a tax invoice anytime there is movement of marijuana inventory between licensees and from licensees to consumers. The OMP should select a vendor that has the capability to collect and aggregate data accurately and efficiently to avoid loss of crucial tax revenue as experienced by other state departments that do not use BioTrackTHC's solutions.[27] The System provides for the ability of licensees to report taxes on a monthly basis, calculate tax revenue reports, and submit electronic payments of excise taxes via the State's preferred e-commerce System. With the recorded sales and figures already stored, the licensee will simply view a report for the previous month and provide confirmation. Once electronic confirmation is submitted, the organization will then printout said report and remit with payment. The system can be defined with a hard deadline for any day in the following month; the current setting for the state of Washington is the 20th of the following month. In addition, upon successful tax confirmation with the state of Washington, for example, users may then process their online ePay system. Before a tax obligation report is filed; an organization may perform corrections or fix any mistakes. For example, if they

[26] https://www.leg.state.nv.us/Division/Audit/Full/BE2020/LA20-05_Department_of_Taxation_Marijuana_Regulation_and_Enforcement.pdf
[27] https://thenevadaindependent.com/article/audit-state-missed-out-on-500k-marijuana-tax-revenue-because-of-recordkeeping-issues

						mistakenly reported a sale as 2000.00 and it should have been 3000.00; they will have the opportunity to fix this mistake. The system also allows for back-dating of transactions so long as the tax period they are reported in has not been locked. That is, once an organization has confirmed a report for a tax period, e.g. the month of October, they may not place additional transactions into that period without Department approval. The system currently provides, through its agency interface, the ability to look-up and approve locking and unlocking of tax periods for licensees. Thus, the State may approve said unlocking, for a determined period (the currently defined unlocking period being 24 hours), while the licensee performs any corrections. Once corrections are completed, the tax period will then automatically re-lock. The proposed BioTrackTHC System possesses the ability to reflect transactions of different types in a manner defined by the department. For example, the system currently operates on a cash accounting basis. In the case of refunds and corrections; this is certainly a preferred method for this industry. However, the reporting flexibility is such that an accrual based method could also be implemented. Sales taxes and transaction specific tax rates can also be accounted for.
14	***Inventory Seizure.*** Proposed System provides functionality to allow OMP System Users to indicate inventory items have been seized by OMP.	M	✓			If, during an inspection, the inspector seizes plants or inventory items from a Licensee, that removal must also be reflected in the System. The investigator clicks on the "Spot Check" button to begin the process. The inspector then keys in the unique identifier of the item intended to be seized. If the identifier belongs to a plant, the spot check window updates with the plant's data. • Room: the last recorded cultivation room location per the System • Strain: the plant's strain • Created: day and time the plant was created • Phase: the plant's lifecycle phase Once the investigator confirms that the plant seized is the correct plant, he/she clicks on the "Seized" dropdown, changes the status to "Yes", and then clicks the "Update Plant" button. If the identifier belongs to an inventory item, the spot check window updates with the item's data. • Room: the last recorded inventory room location per the System • Strain: the item's strain • Inventory-type: the item's designated type (e.g., flower lot, hash, usable marijuana) • Remaining: the quantity that remains associated with the inventory identifier Once the inspector confirms that the inventory item seized is the correct item, he/she clicks on the "Seized" dropdown, changes the status to "Yes", and then clicks the "Update Inventory" button.
15	***Samples:*** System must have the ability to track samples of Marijuana and/or Marijuana Products between Licensees. Input may include, but is not limited to, the following fields: date of transfer, transferred by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity.	M	✓			The System enables the creation of samples to be exchanged between licensees for the purpose of negotiating a sale. In conjunction with the trip ticket and product transfer functionality, the System already accepts the chain of custody and inventory data related to all inter-licensee samples. The licensee selects an inventory item for sampling and creates a sample inventory item. The sample quantity is deducted from quantity of the original inventory item and is given its own unique sample identifier. The licensee then generates a transportation trip ticket in which an appropriate licensee is the destination and the sample item is listed for transport. As described in the transfer trip ticket functionality response and the transfer of inventory between licensee's response, all data captured by the system shall be associated with the sample and its transfer, including but not limited: date of transfer, transferred by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity.
F.	Cultivation Facility Inventory Tracking Requirements:					
1	All cultivation of Marijuana will be performed at a Licensed Cultivation	M	✓			Please refer to the responses to business requirements C.4 and E.1.

	Facility. System will allow data input of inventory transaction information via user interface or automated interface.					
2	Proposed System allows tracking of clones and seedlings by count /variety until moved to the immature plant growth step, where the plants are then assigned a Unique Plant Identifier.	M	✓			In the System, clones and germinating plants are initially tracked as inventory by count/variety within the "Inventory" tab. Once a plant has reached a certain height and has entered the vegetative growth step, it can then be moved from the "Inventory" tab to the "Cultivation" tab. Any plants that exist within the cultivation area must be individually tagged with a unique 18-digit identifier, no exceptions. In accordance with OMP laws and supporting regulations, the System is already configured out-of- the box to provide cultivation facilities the ability to tag each and every plant with a unique individual identifier. When a group of cloned plants of the same variety are created, a single identification number is issued to the group and the licensee specifies the quantity of clones associated with the identification number. Once an individual clone has reached a specific height (to be determined by the Department), the licensee would move the plant from the "Inventory" tab to the "Cultivation" tab where the growth phase would be updated and the plant would be issued its own unique identifier that is backwards traceable to the identifier of the clone group from which it came, which is backwards traceable to the identifier of the mother plant from which the clone group came, and so on. The system has an internal control for this activity. For example, in other States that use BioTrackTHC's software solution, all plant classifications, other than clone, are restricted to a quantity of "1". Therefore, an inspector would easily be able to determine in a physical inspection whether or not plants greater than 8 inches (required plant-tagging height) are being improperly classified as clones because they share a common identifier.
3	The System will allow the addition of plant inventory items. Inputs may include, but are not limited to, the following fields: strain, plant ID, status in production cycle, date, and added by. In addition, an attribute will be provided to allow indication of whether the plant is a seedling, clone, or mother plant.	M	✓			BioTrackTHC's proposed solution comes equipped out-of-the-box with this functionality. Licensees can input data through the freely provided web interface, or via their own third-party tracking software via the Company's battle-tested API as described in the response to business requirement C.4. These data inputs include, but are not limited to: strain, plant ID, status in production cycle, date, and added by. Licensees can also track additives, ingredients/excipients, they can identify package and expiration dates for products that have a limited shelf life, and they can also determine whether a plant is a seedling, clone, or mother plant.
4	Proposed System will allow tracking of marijuana plants through growth stages: clones/seedlings, immature plants, flowering mature plants.	M	✓			Please see the response to business requirement F.2 above.
5	The System will track transfer of plant inventory between growth stages and locations. Data input may include but is not limited to: transfer date, transfer to location, order number, list of plants transferred.	M	✓			BioTrackTHC's proposed solution comes equipped out-of-the-box to meet this business requirement as described throughout earlier sections of this response.
6	Proposed System allows tracking of the daily application of fertilizers, pesticides, and any other compounds and/or products applied to each individual plant.	M	✓			BioTrackTHC's proposed solution comes equipped out-of-the-box with the ability to track additives at the cultivation phase, and any ingredients/excipients that are applied to intermediate and end-user products.
7	Proposed System allows tracking of marijuana harvesting and processing of plant products including, but not limited to: harvesting, batches, drying/curing stage, packaging, and storage.	M	✓			For each plant, the System may capture all plant component weights desired by the State for both the harvest and cure processes: flower, stems, shake, kief, fan leaf, sugar leaf, trim, waste, etc. The System can also accommodate multiple harvest collection points for the same plant, as well as accommodate different production workflows (e.g., wet trim, dry trim, batch now, batch later, etc.). Unique identifiers are assigned to each component and its weight to one hundredth-of-a-gram (or greater precision, if required) may be captured. In addition, the System also allows for "re-flowering" via its Additional

						Collections functionality. Cultivators wishing to maximize their yields will perform this process by cutting the top portion of a plant off and beginning the drying portion for that half while the bottom portion is allowed to flower for another couple weeks, thereby allowing licensees to double their plant yields.
8	Harvested plant material will be weighed at each stage of the harvesting and processing of plant products. Producers may weigh plants wet or dry/cured. Data input may include fields including, but not limited to: strain, product name, product type, product ID, lot number, Unique Plant Identifier, quantity yielded, and units of measure.	M	✓			The System will account for every byproduct and every gram. In fact, BioTrackTHC's platform issues unique identifiers to the waste and other material collected, as a batch derivative of the plant. As a plant may remain in cultivation for 1-2+ weeks, maintaining accurate traceability on all product is critical. If, for example, a cultivation facility collects several hundred grams of leaves from a harvest, but intends to process this material sometime before the plant itself is actually dried, this needs to be accounted for. The System is already equipped to handle this and can maintain chain of custody and seed-to-sale tracking for all materials collected. Once the weights have been entered, the System automatically recognizes this and changes the Phase of the plant to "Drying". The System automatically accounts for each of the non-flower components (Other Material, and Waste) as separate inventory items, generate new identifiers for each, and move those items to the "Inventory" tab under their respective product groupings. The strain of the new items is automatically populated based on the strain of the plant. When ready to record the cure weights, the cultivation facility first selects the plant identifier. Note that the plant's phase must be "Drying" in order for the plant to be cured (remember the System automatically updates the plant's phase to "Drying" upon execution of the harvest action on the plant). Once the dry weights have been submitted, the System will automatically account for each of the three components (Flower, Other Material, and Waste) as separate inventory items, generate new identifiers for each, and move the items to the "Inventory" tab under their respective product groupings. The strain of the new items is automatically populated based on the strain of the plant. After the dry collection, the inventory will now exist in inventory with the current weight as defined by the employee who recorded the dry weight. After wet and/or dry weights have been entered, the licensee may then combine or separate plant material into homogenous lots. Finally, licensees may create rooms within the "Inventory" tab just as they would in the "Cultivation" tab, wherein they can designate specific areas or literal rooms as "Storage" and place their packaged lots there.
9	System will track packaging of harvested Marijuana. Data may include, but is not limited to the following fields: strain, product name, product type, product ID, lot number, Unique Plant Identifier, net package weight and units of measure.	M	✓			Throughout the process of packaging harvested marijuana, each lot is broken up into individual packages. As each pre-pack is created it is assigned a new unique identifier that is fully traceable back to the original lot's identifier. The following data is collected: strain, product name, product type, product ID, lot number, Unique Plant Identifier, net package weight and units of measure.
10	Producers may package and sell Marijuana on a wet or dry basis. To facilitate the tracing of product inputs back to their origin, the inventory of each package will be tracked by the Product ID and a Batch Number. Data may include but is not limited to: strain, product name, package ID, Unique Plant Identifier for each plant included in the Lot, weight and other units of measure.	M	✓			The System codes each marijuana product (e.g., infused edible, infused liquid, infused topical, etc.), as well as intermediate-product type (e.g., raw CO2 oil, hydrocarbon wax, infused dairy butter, etc.) individually, which allows the conversion process to be correctly monitored. The marijuana product would have to first become an approved intermediate product before it can be made into any product ready for shipment to a marijuana retail store. A full record of the conversion process, including the specific lots/batches of material used, yield and weight in volume, and intermediate products used are all tracked within the System and can be pulled through conversion reports. The conversion report explains, in detail, the post and prior product type, post and prior product ID, units of measure of product yield, number of units yielded, component item information for all items containing marijuana products; including product ID, product name, lot number, and quantity. By using the System's Inventory Forensics Report, products can easily be traced back to their source (all the way back to the plant from which it came) using the unique identification number associated with each product or batch. The System incorporates the industry's most robust inventory classification system, with over 30 total classifications as of the date of this response. The system

						allows for licensees to accurately convert plant material into all current types of packaged marijuana, extracts, and infused products. Data includes but is not limited to product weight, estimated amount of marijuana in each product (via conversion process yield), and backwards traceability to the batch from which the product came.
G.	**Manufacturing Facility Inventory Tracking Data Requirements:**					
1	Product Manufacturers will process, package, and label Marijuana and Marijuana Products for sale to Marijuana Retail Stores and other marijuana establishments. Marijuana Products contain Marijuana or Marijuana extracts and are intended for human use including but not limited to edible products and non-edible products. System will allow via user interface or automated data interface input of inventory transaction information.	M	✓			The System codes each marijuana product (e.g., infused edible, infused liquid, infused topical, etc.), as well as intermediate-product type (e.g., raw CO2 oil, hydrocarbon wax, infused dairy butter, etc.) individually, which allows the conversion process to be correctly monitored. The marijuana product would have to first become an approved intermediate product before it can be made into any product ready for shipment to a marijuana retail store.
2	Proposed System tracks processing events, including but not limited to, process and yield in weight or volume, lots and/or portions used to create a batch of extract and individually packaged unit of marijuana, extract batches used to create a batch of marijuana product, and total yield of batch.	M	✓			A full record of the conversion process, including the specific lots/batches of material used, yield and weight in volume, and intermediate products used are all tracked within the System and can be pulled through conversion reports. The conversion report explains, in detail, the post and prior product type, post and prior product ID, units of measure of product yield, number of units yielded, component item information for all items containing marijuana products; including product ID, product name, lot number, and quantity. The System incorporates the industry's most robust inventory classification system, with over 30 total classifications as of the date of this response. The system allows for licensees to accurately convert plant material into all current types of packaged marijuana, extracts, and infused products. Data includes but is not limited to product weight, estimated amount of marijuana in each product (via conversion process yield), and backwards traceability to the batch from which the product came.
3	Proposed System tracks marijuana disposal including the following data fields: usable plant material, net weight and units of measure for all plant material, extract, and marijuana product, and reason for disposal. This should trigger an automated notification to OMP.	M	✓			Please see the response to business requirement E.8.
H.	**Retail Store Inventory Tracking Requirements:**					
1.	Retail Stores will sell Marijuana, Marijuana Products in retail stores to persons twenty-one (21) years of age and older. System will allow via user interface or automated data interface input of inventory transaction information.	M	✓			BioTrackTHC 's proposed system already comes equipped out-of-the-box with the ability to fulfill this business requirement. The System can also be configured through the integration with the State's DMV database to prevent the sale of marijuana products to those whose birthday falls under the threshold for the specified age, thus preventing the sale of product to anyone under the legal age within the State of Maine.
2.	For registered qualifying patients of Medical Marijuana Program, the system will allow entry and validation of the patient's registration number.	M	✓			BioTrackTHC 's proposed system already comes equipped out-of-the-box with the ability to fulfill this business requirement. BioTrackTHC has extensive experience in this field as the Company stands alone as the **only** vendor that possesses both a Seed-to-Sale Tracking, and Patient Registry solution that are both developed in-house.
I.	**Audit/Investigation Reporting:**					
1	The System will provide robust ad-hoc and pre-defined reporting functionality for OMP to determine compliance with Maine statutes and rules for Medical and Adult Use marijuana.	M	✓			In addition to improving process efficiency, another goal of the System is to provide meaningful and reliable data to empower the OMP to monitor activity and make informed decisions. The System, informed by six (6) years of hands-on marijuana specific experience, is the most comprehensive and accurate seed-to-sale inventory tracking system for the marijuana industry today: gathering real-time data with respect to licensee, plant/inventory location, plant growth-phase, production-phase, product

						conversion, laboratory quality assurance testing, transportation, destruction, and point-of-sale activity. BioTrackTHC's development team will work closely with the OMP to determine additional reporting needs and to create supplementary useful routine reports, just as it has previously completed for all of its government clients.
2	The System must be able to collect and summarize in report format, data for various read/entry points in the processing of Marijuana products.	M	✓			The System's ability to easily extract data at any point in the product lifecycle (e.g., by weights, discrete quantities, strains, locations, item type, laboratory test results, adjustments and deviations, input characteristics, etc.) maximizes the utility of the reporting function and the ability of the State of Maine to monitor marijuana entities in real-time, allowing for the facile enforcement of regulations, the collection of tax revenues, and the promotion of public safety.
3	The reporting functionality must be capable of reporting of tracking and transaction information through the entire chain of custody.	M	✓			The System's standard report module comes loaded with over 50 pre-configured reports specifically designed for government agency oversight and over 100 commercial reports that can easily be converted into Agency-relevant reports. Real-time System reports include, but are not limited to: • Licensee; • Plant/inventory location; • Plant growth-phase; • Production-phase; • Product conversion; • Laboratory quality assurance testing; • Transportation; • Destruction; and • Point-of-sale data.
4	The reporting functionality must provide the ability to analyze data and cross reference among different stages of marijuana grow cycles within vertically integrated marijuana establishments, as well as among different types of marijuana establishments.	M	✓			BioTrackTHC 's proposed system already comes equipped out-of-the-box with the ability to fulfill this business requirement.
5	The reporting functionality will be capable of reporting over all database tables and fields within the System.	M	✓			BioTrackTHC's System reporting functionality, capable of reporting over all database tables and fields captured by the System, will allow the State to utilize the full wealth of captured data, and thereby facilitate the effective administration, monitoring, and enforcement of the industry pursuant to the OMP laws and supporting regulations.
6	The reporting functionality will allow OMP to define new reports and edit as needed without assistance or ongoing support from the Awarded Contractor.	M	✓			The proposed BioTrackTHC solution comes equipped out-of-the-box with the industry's most comprehensive and user-friendly custom report creation tool. The report creation tool allows users to select from all datapoints collected. Users can name the reports, provide a description of the report, save, edit, and delete reports, as well as identify the person who created the report itself. Furthermore, the BioTrackTHC System contains a field to enter SQL queries directly into the System to allow for the extraction of any and all data captured (i.e. over 1,800 data points).
7	The System will provide functionality to export report data to variety of formats including but not limited to: Microsoft Excel, .csv, text.	M	✓			BioTrackTHC 's proposed system comes equipped out-of-the-box with the ability to fulfill this business requirement.
J.	System User Access:					
1	The System must be configurable to provide appropriate levels of user access, permissions and visibility based on user groups/roles, such as Department system users and industry licensees.	M	✓			BioTrackTHC employs role-based user access to provide various groups of user's access to the system while segmenting the functionality and data to which they are granted access. These user groups can include OMP-designated system administrators, approved State staff, licensee administrators, and licensee users. The System's security model allows the OMP to assign system user access to data and functions, as appropriate, to the

						individual and their user group. OMP staff will have access to review licensee data as granted by the OMP-designated system administrators. All licensee users are restricted to their own data. The system starts with the master database—which is accessible only to OMP—and creates a new subordinate database for every licensee created within the system. This security model ensures that licensees can only view and interact with the dataset for that specific licensee (because they only have access to their subordinate database), and that OMP staff are able to view data for all licensees based on specified search criteria (because they have access to the master database).
2	The System must be equipped with internal software security to avert unauthorized access to functionality and data.	M	✓			Please refer to the entire response of Section 1.6 – *Security Features and Procedures* for a detailed response to this business requirement.
3	The Department administrative users will have the ability to register through system functionality.	M	✓			The System allows for the registration of OMP staff administrators out-of-the- box. When the production system is first deployed, the BioTrackTHC Project Manager will collect a listing of all State designated system administrators and will create each of their "full access" accounts accordingly. After the initial setup, those regulatory administrators will be responsible for setting up the permissions of all future users, including additional system administrators.
4	The administrative level permissions for Licensee administrators will be limited to granting access to employees only for that licensee establishment.	M	✓			As described above in the response to business requirement J.2, BioTrackTHC employs role-based user access to provide various groups of user's access to the system while segmenting the functionality and data to which they are granted access. These user groups can include OMP-designated system administrators, approved OMP staff, licensee administrators, and licensee users. In order to administer users of other agencies outside of OMP and Licensees, the admin user of the OMP will create an administrative user for each agency. Once an Agency Administrator is created, that administrator will have the responsibility of creating users within the agency. The permissions granted to each user within an agency will be based on the roles required by that agency. Once an administrator of an agency has been granted permissions, the administrator will be able to create users within the same roles that have been assigned to him or her. Setting up new administrative roles is an extremely simple process that allows for delegation with ease. For example, in the image below, a new role has been created that has administrative access over Quality Assurance / Laboratory Testing facilities and further has the ability to setup new users within the agency.
5	Proposed System will provide the ability to Licensee administrators to control employee access and visibility to types of activities and functions in the system.	M	✓			This System comes out-of-the-box with the ability to fulfill this business requirement and is explained in the responses to J.1, J.2, J.3 and J.4 of this section.
6	Proposed System must be configurable to control access level to reporting functionality based on user group/role.	M	✓			New roles that are created with specific permission bits, or roles, cannot designate new users with access that exceeds their own. Therefore, administrator roles that are created outside of the OMP will always be limited to the specific requirements or limitations that the OMP has established for that specific agency or user group. Licensee administrators are provided the right to grant or revoke permissions on additional users they create, as well. Licensee administrators can also create users based on pre-defined roles or grant extremely granular permissions based each specific API call that the user would utilize to interface with the State portal.
7	Proposed System must be configurable to control level of access to licensee data.	M	✓			The System comes equipped out-of-the-box with the ability to fulfill the business requirements within this section as described in previous responses.
K.	**Audit Trail**: The System will provide full audit trail of all updates made to application data. The audit log will include date of change, user, type of change and original and changed values.	M	✓			The System's audit log provides full tracking of changes to all database information including date of change, system user ID, type of change (insert, update, delete), and new values (prior values can be inferred by reading through the log backwards). This also allows for "undo" functionality so users may correct mistakes, while ensuring that at no time is data ever fully deleted. As such, an accurate audit trail is maintained which allows for the comprehensive reconstruction of system history as necessary. Note that because

						of the of the audit log, removing any item—including for destruction, theft, etc.—does not delete any of that item's already submitted data. It simply removes the item from use by the marijuana establishment moving forward, and that item will subsequently be identified as having been removed. The System's reporting functionality includes an Audit Log Report that can be used to view all changes to application data for the purpose of issue identification and analysis and/or data restoration. Report results may be refined through any number of search parameters including, but not limited to, timeframe, system user ID, action type (insert, update, delete), and more. Variations of this Audit Log Report have been used extensively for years by BioTrackTHC's technical support and the Company's clients to conduct forensic investigations to identify user mistakes and user malfeasance.
L.	**Data Storage Requirement:** The selected vendor will store all System data and reports. The data hosted and stored by the contractor is sole ownership of State of Maine. The vendor must provide all data to the Department upon request.	M	✓			BioTrackTHC agrees to comply with this requirement. The Company can retain the backups for ten (10) years, indefinitely or in whatever policy manner the State deems necessary. With six (6) years of continuous operation, no data loss has ever occurred with BioTrackTHC's managed servers. Upon request, a database backup can be exported from PostgreSQL's base backup format into a standard format e.g. ANSI SQL, for state import into another SQL system. Due to the open source nature of PostgreSQL, the state will always have the ability to easily perform this function themselves.
M.	**Service continuity/Reliability:**					
1	Proposed System is fully operational and will remain operational at least 99.95% of the time 24 hours p/day, 7 days p/week.	M	✓			The combination of BioTrackTHC's PostgreSQL relational database system within Amazon's AWS GovCloud (US), Amazon's S3, and Amazon Glacier is designed to exceed 99.999999999% durability and 99.99% availability of objects over a given year. Objects managed by BioTrackTHC are redundantly stored on multiple nodes within the GovCloud (US) region as well as multiple Business S3 regions. See the aforementioned Uptime and Availability Stats on **page 4** of this document for more details.
2	The selected contractor must provide technical service contact information for reporting problems, such as outages and connectivity issues.	M	✓			Please refer to the response regarding subsection *1.12 Ongoing Maintenance and Support* on **page 20** of this document.
3	The selected contractor must provide assistance to Licensees, ALMS, OMP staff and data warehouse in resolving connectivity and download/upload issues.	M	✓			Please refer to the response regarding subsection *1.12 Ongoing Maintenance and Support* on **page 20** of this document.
N.	**Data Upload Requirements:**					
1	Proposed system allows users to verify and correct uploaded data before posting to the System	M	✓			As with any electronic application, user errors and mistakes can occur. With the BioTrackTHC System, users can easily correct mistakes in a timely manner. One example of this is if a user accidentally rings up the wrong quantity or amount of a product; the system allows for said user to void the transaction and re-complete said sale. In the case of transaction voids, no data is ever actually deleted. Instead, transactions are toggled with a deleted field that indicates the void but does not remove the data. Thus, for normal reporting this data will not display, but specialized reports can cross-reference this voided data. In addition, all inventory dispensed during said voided transaction is also returned to stock. In this regard, the concept and allowance of voided transactions does not increase the possibility of diversion as the inventory would still be fully accounted for.
2	Proposed system allows users to correct posted information.	M	✓			Please see the response to business requirement C.5 of this document.
3	Proposed system allows users to manually enter data into input screens, as an alternative to uploading data.	M	✓			The System provides this functionality for all users as an out-of-the-box feature.
O.	**Data Download Requirements:**					

1	Proposed System allows for the downloading of predefined and ad-hoc reports determined by OMP.	M	✓		C	The System is able to produce a full SQLite database engine at the end of every month that will contain all un-redacted data captured by the System from deployment through the last day of the month prior. This feature enables the OMP to download the entire dataset—every table and every data element therein— and use SQL queries to analyze the data. The OMP may also export every table into a CSV file so users unfamiliar with SQL querying may participate in data mining and analysis. SQLite is a software library that implements a self-contained, serverless, zero-configuration, transactional SQL database engine. SQLite is the most widely deployed SQL database engine in the world and the source code is in the public domain.
2	System downloads will be transmitted over an encrypted secure connection.	M	✓		C	The proposed System comes equipped out-of-the-box with this feature. At no time during its transfer, will data ever be unencrypted. Please refer to BioTrackTHC's response to business requirements B.1, C.3, 1.5.2 – *Interface Security*, and 1.6.3 – *Secure Connectivity* for more information.
P.	**System Alerts:** Proposed System allows OMP to manage alerts and notifications, defining tolerance levels and selecting recipients.	M	✓		C	BioTrackTHC's alerts and notifications module, a component of the reporting interface, is available "out- of-the-box" and is currently used to great effect within other instances the Company's government solution. The System may create a standard report within the reporting system that is auto- generated on a regular basis and is auto-emailed to a list of approved System recipients. The Washington State Liquor and Cannabis Board has used this feature since February 2014 to send out standardized instructional emails to pending licensees regarding their compliance demonstration and licensing. Reports may be configurable with thresholds by OMP staff to identify activity or events that are out of tolerance. Examples of such reports already in use are Transportation Discrepancy reports (amount reported received by licensee differs from amount reported as sent by originating licensee), Failed QA Test Reports, Adjustments Reports (manual adjustments by type and magnitude), Destruction Events by Licensee Reports, Dry-to-Wet Ratio Reports, and Inventory Conversion Reports. In addition to automated alerts, the System includes a real-time "events" feed. The System may designate a particular action within the system as a critical "event" and that event will appear on the feed when triggered. For example, the WSLCB requires real-time updates whenever a licensee is harvesting a plant, destroying plants or inventory, and when a trip ticket is filed. This allows the WSLCB to view, in real-time, the designated significant activities as they occur and then to decide how to allocate the efforts of the examiner team.
Q.	**Data Retention Policy**: Data collected by the System must be available for a period of seven (7) years. Upon retention period completion data must be archived to permanent storage before it gets removed from the system.	M	✓		C	The BioTrackTHC team agrees to comply with this requirements and has successfully fulfilled similar actions/services for its existing government (and private sector) clients as of the writing of this proposal. Furthermore, the BioTrackTHC team is the only Bidder who has successfully decommissioned its government tracking solution to meet and exceed requirements of a similar nature for other clients with great success. At no time during this process was System data ever lost or compromised.
R.	**Disaster Recovery**: Proposed System has a disaster recovery plan which includes off-site backups and System restoration within twenty-four (24) hours.	M	✓		C	The BioTrackTHC team has a comprehensive Business Continuity and Disaster Recovery Plan (BCDRP). Additionally, BioTrackTHC has successfully activated and executed its BCDRP on **two (2)** separate occasions with no instance of data loss or down time of any of its government or private sector client solutions. Furthermore, the BioTrackTHC team performs annual BCDRP simulations to ensure all team members understand their roles and responsibilities during instances of a natural disaster or "act of God" that may inhibit or prevent the Company from operating at a normal capacity.
S.	**Security:**					
1	Proposed System's security model limits licensee's data access and visibility to data collected for that individual licensee and allows OMP to view data for all licensees based on specified search criteria. Encryption occurs both at rest and in flight.	M	✓		C	Encryption requires both a method to encrypt the data (i.e., a cryptographic algorithm) and encryption keys. At rest encryption, as well as all backup data, is encrypted using AES-256. No less important than the selection of encryption algorithm, however, is the protection of encryption keys from unauthorized access. Key Management Infrastructure (KMI), or the management of encryption key security, dictates the secure storage of the keys and the authorization of key usage. BioTrackTHC utilizes a model where AWS controls the encryption method and the entire KMI. In this model, AWS

						provides server-side encryption of the System data, transparently managing both the encryption method and the keys. The AWS Key Management Service (KMS) is a managed encryption service that allows for the provision and use of encryption keys to protect System data. After master keys are created, they are designed to never be exported from the service. Data can be sent into the service to be encrypted or decrypted under a specific master key under the BioTrackTHC account. This design provides centralized control over who can access System master keys to encrypt and decrypt data, as well as the ability to audit this access. AWS KMS use a method called "envelope encryption" where a data key is used to encrypt System data, and then that data key itself is encrypted with a key-encrypting key. Covered in Proposal
2	Bidder shall provide documentation outlining security controls used to isolate application services and data if proposer's solution operates in a multi-tenant hosted environment.	M	✓			BioTrackTHC has redacted a wealth of information regarding its security processes and controls in order to adhere to the 50-page limit of this response in accordance with the requirements of this RFP. Additional documentation regarding the Company's security controls and processes are available upon request, including the results of several audits (including a comprehensive SOC II audit report).
3	Bidder shall maintain and make available for review upon request documentation regarding physical security controls, logical security controls, asset controls and human resource controls.	M	✓			The BioTrackTHC team agrees to comply with this requirement and offers copies of such audit reports upon request of the OMP.

3. Implementation - Work Plan

BioTrackTHC will follow a hybrid methodology utilizing two (2) Software Development Lifecycles (SDLCs) – Agile and Rapid Application Development (RAD) to satisfy and meet the OMP's objectives to execute all tasks detailed in the RFP. Using this hybrid model will allow the BioTrackTHC project team to proactively utilize the best practices and strengths of each methodology, which will provide a project lifecycle tailored to OMP's requirements and a comprehensive product lifecycle. BioTrackTHC will supply at least four (4) environments (Development, User Acceptance, Production, and Training) to support the SDLC process (Customization/Configuration, User Acceptance and Deployment) in accordance with the requirements of this RFP. Furthermore, the BioTrackTHC team has performed a comprehensive review of the State's ITY Policies, Standards, and Procedures, and agrees to comply with these directives as required by the OIT and the RFP.[28]

3.1 Project Management Tasks

BioTrackTHC possesses both Project Management experience and template project management documents relevant to this project. Specifically, the BioTrackTHC's Project Manager will comply heavily with the project management lifecycle methodology as codified in the Project Management Body of Knowledge (PMBOK), **Sixth** Edition. The BioTrackTHC project team will follow the project management industry's best practices as set forth by the Project Management Institute, which will allow the project team to successfully track and complete the project by the required Go-Live. This project management lifecycle methodology will complement the use of RAD and Agile for the software development lifecycle. BioTrackTHC shall develop a Project Charter to initiate and kick off the project. The Project Charter shall identify BioTrackTHC's and the OMP's Project Sponsors, Project Managers, High Level Requirements, High Level Risks, and a summary of Major Milestones.

BioTrackTHC's Project Sponsor and the OMP Project Sponsor will sign the Project Charter, which establishes the overall project and authorizes the Project Manager to assign organizational resources to project activities to ensure that the Project is delivered within the Project's Scope, Schedule, and Budget. The BioTrackTHC Project Manager will be responsible for updating all Project Plan documents upon contract

[28] https://www.maine.gov/oit/policies/

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc. P1
DATE: 4/18/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OIT

****

Instructions: *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

****

Individual Evaluator Comments: P1

Organizational Q+E

P Develops traceability solutions, marijuana focused

M No government previous experience
P (Computer focus on marijuana
Q not sure exactly what the dedication to the industry is
Capable senior staff

Projects
1. Uncle Ike's
Price weight compliance
P traceability

2. Lowe's
P Big company
Garden center inventory – not exactly related
3. Multiple marijuana industry clients
P origin to consumption
revival business – positive, but not sure of exact relate to RFP

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc. P2
DATE: 4/18/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OIT

****

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****

Individual Evaluator Comments:

Proposed Services
(I) - an enterprise system w/ everyone working together
(P) Highly configurable
P Azure SQL, web-service
P 5 environments
P Availability
P GIANT - rules based
(Q) NFC/RFID - optional / available (will be COST? assumed)
Q Devices?
✓ 24/7 availability
★ (M) (I) Customizable but periodic (1 per to doc, timeline of the list)
(Q) - any costs for customization?
I Box for legacy
(P) Solid How-to manual on-line
P Good downloadable plan
Tulip - on, API - good,
(P) Training - multi format - good | seems solid
(P) Agile
(P) Maint & support
P PM Plan good
Q NFC or RFID optional (added cost? time? and slower?) sounds like there is one in cost opt.
(I) ↳ required or optional
(P) ID #s, drop tickets, access controls, confidentiality
P Reporting - industry and more (PII and...
P Notifications
★ (M) Overall - answers to specific question OK but not specific for marijuana or State

partial interference

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc. P3
DATE: 4/18/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OIT

****

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****

Individual Evaluator Comments:

(P) Portal Interface
P API verification
- 3rd party developer access needed

table

P Disaster recovery, SLAs

(Q) SOC 2 Type 2 - Do they have? Seems like it but not clear.

12/10 - fully deployed
→ little long
(I) Fully scalable, (P) For detail

2. Business and Technical Requirements (Part II Section C)

Our architecture is detailed more thoroughly in the following sections of this document which demonstrates that the functionality needed by the State, to capture and report on licensee data, can be deployed soon after we are awarded this bid. Any functionality that needs configuration or customization can be deployed in phases once the specific requirements, and functionality not immediately deployable, are solidified with the State, once the bid has been awarded.

The example functionality described in the following sections are from our traceability, supply chain management, and retail applications currently deployed in multiple states and countries. These applications are deployable to licensees in the State of Maine today (in fact we have a client in Maine deploying our system in April 2019) from which the interfaces can be configured or customized if needed for this bid. Our system can be deployed as Windows or mobile apps and/or accessed through web browser interfaces using responsive web design.

The following table is the list of requirements from the B&T Requirements spreadsheet and is cross referenced to the sections below for more detail:

	Marijuana Seed to Sale Tracking System Requirement	Mandatory / Desirable	E	CO	CU	Explanation
A.	**Central Inventory Management System:**					
1	Proposed System provides a central data management system capable of storing inventory and transaction data for all Marijuana Establishment Licensees in State of Maine.	M	X			Explanation in section 2.1
2	The system assigns a globally unique, non-repeating identification number for every plant and inventory item recorded in the system.	M	X			Explanation in section 2.1
3	The system assigns the identifier to prevent duplication of identifiers by licensees, providing for reliable traceability.	M	X			Explanation in section 2.1
4	The system is capable of using US customary and metric units for data entry, tracking and reporting.	M	X			Explanation in section 2.1
B.	**Web Application Interface:**					
1	The system provides a secure web-based user interface for data entry, display, and reporting by Marijuana Establishments licensed in State of Maine.	M		X		Explanation in section 2.2
2	The system provides a secure user interface for OMP employees for user and system administration, and retrieval and tracking of inventory and transaction data.	M	X			Explanation in section 2.2
C.	**Data Exchange/Interface:**					
1	Provides secure connections for data exchange to and from ALMS .	M		X		Explanation in section 2.3
2	Provides secure connections for data exchange to and from OMP data warehouse.	M		X		Explanation in section 2.3
3	System includes web services, uses XML based open standards.	M	X			Explanation in section 2.3
4	Provides secure web service API for integration of 3rd party information systems.	M	X			Explanation in section 2.3
5	Provides validation and alerts/notifications for validation checks on Licensee data submitted through data interface.	M		X		Explanation in section 2.3
D.	**Reports:**					
1	Proposed system has the ability to download and search datasets and create reports based on certain criteria, this includes both predefined and ad hoc reports.	M		X		Explanation in section 2.4
2	Proposed system provides the ability to a user with appropriate user permissions to build queries, retrieve data and produce reports based on defined criteria.	M		X		Explanation in section 2.4
3	Generated reports can be exported to Excel, CSV, TXT, Word and PDF formats.	M	X			Explanation in section 2.4
E.	**Inventory Tracking Data Points:**					
1	Proposed System allows via user interface or automated data interface input of Licensee data for all types of marijuana establishments. For each inventory transaction listed below the following information will be recorded: tag or label ID and the date and time of the transaction.	M	X			Explanation in section 2.5
2	*View/Search.* Proposed System includes search functionality to allow users to search for inventory items by entering a set of search criteria parameters and display the results in tabular form.	M	X			Explanation in section 2.5

3	***Receive Inventory.*** System will include functionality to allow input, tracking, reporting, and storage of information about marijuana or marijuana products received at Licensee facilities from other Licensees. Data input may include, but is not limited to, the following fields: Receipt Date, Received By, Source Licensee Name, Source License Number, Order Number, Items shipped and/or received information; including but not limited to Product ID, Product Name, Batch Number, Weight, and Quantity.	**M**	X			Explanation in section 2.5
4	***Add/Edit Location.*** System will allow input of user-defined inventory locations within an organization, including but not limited to: cultivation room, harvesting room, curing room, packaging area, storage area, and retail area.	**M**	X			Explanation in section 2.5
5	***Add/Edit Product Type.*** System will allow input of product types. Inputs may include fields including but not limited to: product name, product type, product ID, and units of measure.	**M**	X			Explanation in section 2.5
6	***Create the Work Order/Product Batch.*** System will allow for products to be composited/processed into new products. Inputs must have sufficient information so that they can be traced back to their origin.	**M**	X			Explanation in section 2.5
7	***Internal Transfers.*** System will allow input of inventory transfers between locations within licensee's premises.	**M**	X			Explanation in section 2.5
8	***Dispose Inventory.*** System must allow input of inventory adjustments, such as disposal, waste, theft, failure to grow or seizure by law enforcement. System must automatically notify OMP every time an entry like this is made into the system.	**M**	X			Explanation in section 2.5
9	***Transfer to another Licensee.*** System will allow input of inventory transfers between Licensees.	**M**	X			Explanation in section 2.5
10	***Testing.***					
10	The System must be able to record transfers of samples to a licensed testing facility. Input may include fields including but not limited to: date of transfer, transferred by, source license number, testing facility name, testing facility license number, OMP agent name, product ID, product name, lot and/or batch number, and quantity. Test results for any Batch must be accessible by OMP and the Licensee. The System must allow OMP and Licensees to search, upload, and download test results in PDF, Excel and/or other document formats.	**M**	X			Explanation in section 2.6
10	The System must have the ability to prevent a testing facility from making any new entries if the license information indicates that the testing facility's license or certification has expired or has been revoked.	**M**	X			Explanation in section 2.6
10	The System must be configurable to include different test fields and testing methods, so that the testing facilities are able to enter their results against each test type. The system must have the ability to prevent the testing facility from entering results for a certain test type, if their certification has been revoked for that specific test field.	**D**		X		Explanation in section 2.6
11	***Trip Tickets.*** System will provide functionality for medical and adult use marijuana establishments to create trip ticket documents. Trip tickets will be stored and tracked by the System. Input data may include, but is not limited to: ship from name, license number and route description. For each item include destination address, destination name, license number, address, product description, product ID and batch number, quantity and units of measure, departure time and arrival time. Trip tickets will be used as shipping documents for transfers between locations within an organization or sales between Licensees.	**M**	X			Explanation in section 2.5
12	***Retail Sales Transaction Data:*** Licensee retail sales transaction data must include but is not limited to: time and date of sale, license number, order number, sales items, price and quantities. For medical marijuana and medical marijuana products sales transaction data must also include the qualifying patient ID number. Transaction data must include unique transactions for sales, refunds, voids, adjustments, etc.	**M**	X			Explanation in section 2.5
13	***Taxes.*** System will allow Licensees to generate excise tax reports for the purpose of satisfying reporting requirements to OMP.	**M**	X			Explanation in section 2.5
14	***Inventory Seizure.*** Proposed System provides functionality to allow OMP System Users to indicate inventory items have been seized by OMP.	**M**	X			Explanation in section 2.5
15	***Samples:*** System must have the ability to track samples of Marijuana and/or Marijuana Products between Licensees. Input may include, but is not limited to, the following fields: date of transfer, transferred by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity.	**M**	X			Explanation in section 2.5
F.	**Cultivation Facility Inventory Tracking Requirements:**					
1	All cultivation of Marijuana will be performed at a Licensed Cultivation Facility. System will allow data input of inventory transaction information via user interface or automated interface.	**M**	X			Explanation in section 2.7
2	Proposed System allows tracking of clones and seedlings by count /variety until moved to the immature plant growth step, where the plants are then assigned a Unique Plant Identifier.	**M**	X			Explanation in section 2.7
3	The System will allow the addition of plant inventory items. Inputs may include, but are not limited to, the following fields: strain, plant ID, status in production cycle, date, and added by. In addition, an attribute will be provided to allow indication of whether the plant is a seedling, clone, or mother plant.	**M**	X			Explanation in section 2.7
4	Proposed System will allow tracking of marijuana plants through growth stages: clones/seedlings, immature plants, flowering mature plants.	**M**	X			Explanation in section 2.7

5	The System will track transfer of plant inventory between growth stages and locations. Data input may include but is not limited to: transfer date, transfer to location, order number, list of plants transferred.	**M**	X			Explanation in section 2.7
6	Proposed System allows tracking of the daily application of fertilizers, pesticides, and any other compounds and/or products applied to each individual plant.	**M**		X		Explanation in section 2.7
7	Proposed System allows tracking of marijuana harvesting and processing of plant products including, but not limited to: harvesting, batches, drying/curing stage, packaging, and storage.	**M**	X			Explanation in section 2.7
8	Harvested plant material will be weighed at each stage of the harvesting and processing of plant products. Producers may weigh plants wet or dry/cured. Data input may include fields including, but not limited to: strain, product name, product type, product ID, lot number, Unique Plant Identifier, quantity yielded, and units of measure.	**M**	X			Explanation in section 2.7
9	System will track packaging of harvested Marijuana. Data may include, but is not limited to the following fields: strain, product name, product type, product ID, lot number, Unique Plant Identifier, net package weight and units of measure.	**M**	X			Explanation in section 2.7
10	Producers may package and sell Marijuana on a wet or dry basis. To facilitate the tracing of product inputs back to their origin, the inventory of each package will be tracked by the Product ID and a Batch Number. Data may include but is not limited to: strain, product name, package ID, Unique Plant Identifier for each plant included in the Lot, weight and other units of measure.	**M**	X			Explanation in section 2.7
G.	**Manufacturing Facility Inventory Tracking Data Requirements:**					
1	Product Manufacturers will process, package, and label Marijuana and Marijuana Products for sale to Marijuana Retail Stores and other marijuana establishments. Marijuana Products contain Marijuana or Marijuana extracts and are intended for human use including but not limited to edible products and non-edible products. System will allow via user interface or automated data interface input of inventory transaction information.	**M**	X			Explanation in section 2.8
2	Proposed System tracks processing events, including but not limited to, process and yield in weight or volume, lots and/or portions used to create a batch of extract and individually packaged unit of marijuana, extract batches used to create a batch of marijuana product, and total yield of batch.	**M**	X			Explanation in section 2.8
3	Proposed System tracks marijuana disposal including the following data fields: usable plant material, net weight and units of measure for all plant material, extract, and marijuana product, and reason for disposal. This should trigger an automated notification to OMP.	**M**	X			Explanation in section 2.8
H.	**Retail Store Inventory Tracking Requirements:**					
1.	Retail Stores will sell Marijuana, Marijuana Products in retail stores to persons twenty-one (21) years of age and older. System will allow via user interface or automated data interface input of inventory transaction information.	**M**	X			Explanation in section 2.9
2.	For registered qualifying patients of Medical Marijuana Program, the system will allow entry and validation of the patient's registration number.	**M**	X			Explanation in section 2.9
I.	**Audit/Investigation Reporting:**					
1	The System will provide robust ad-hoc and pre-defined reporting functionality for OMP to determine compliance with Maine statutes and rules for Medical and Adult Use marijuana.	**M**		X		Explanation in section 2.10
2	The System must be able to collect and summarize in report format, data for various read/entry points in the processing of Marijuana products.	**M**		X		Explanation in section 2.10
3	The reporting functionality must be capable of reporting of tracking and transaction information through the entire chain of custody.	**M**	X			Explanation in section 2.10
4	The reporting functionality must provide the ability to analyze data and cross reference among different stages of marijuana grow cycle within vertically integrated marijuana establishments, as well as among different types of marijuana establishments.	**M**		X		Explanation in section 2.10
5	The reporting functionality will be capable of reporting over all database tables and fields within the System.	**M**	X			Explanation in section 2.10
6	The reporting functionality will allow OMP to define new reports and edit as needed without assistance or ongoing support from the Awarded Contractor.	**M**			X	Explanation in section 2.10
7	The System will provide functionality to export report data to variety of formats including but not limited to: Microsoft Excel, .csv, text.	**M**	X			Explanation in section 2.10
J.	**System User Access:**					
1	The System must be configurable to provide appropriate levels of user access, permissions and visibility based on user groups/roles, such as Department system users and industry licensees.	**M**	X			Explanation in section 2.11
2	The System must be equipped with internal software security to avert unauthorized access to functionality and data.	**M**	X			Explanation in section 2.11
3	The Department administrative users will have the ability to register through system functionality.	**M**	X			Explanation in section 2.11
4	The administrative level permissions for Licensee administrators will be limited to granting access to employees only for that licensee establishment.	**M**	X			Explanation in section 2.11
5	Proposed System will provide the ability to Licensee administrators to control employee access and visibility to types of activities and functions in the system.	**M**	X			Explanation in section 2.11

6	Proposed System must be configurable to control access level to reporting functionality based on user group/role.	M	X			Explanation in section 2.11
7	Proposed System must be configurable to control level of access to licensee data.	M	X			Explanation in section 2.11
K.	**Audit Trail**: The System will provide full audit trail of all updates made to application data. The audit log will include date of change, user, type of change and original and changed values.	M	X			Explanation in section 2.12
L.	**Data Storage Requirement:** The selected vendor will store all system data and reports. The data hosted and stored by the contractor is sole ownership of State of Maine. The vendor must provide all data to the Department upon request.	M	X			Explanation in section 2.13
M.	**Service continuity/Reliability:**					
1	Proposed System is fully operational and will remain operational at least 99.95% of the time 24 hours p/day, 7 days p/week.	M	X			Explanation in section 2.14
2	The selected contractor must provide technical service contact information for reporting problems, such as outages and connectivity issues.	M	X			Explanation in section 2.14
3	The selected contractor must provide assistance to Licensees, ALMS, OMP staff and data warehouse in resolving connectivity and download/upload issues.	M	X			Explanation in section 2.14
N.	**Data Upload Requirements:**					
1	Proposed system allows users to verify and correct uploaded data before posting to the System	M	X			Explanation in section 2.15
2	Proposed system allows users to correct posted information.	M	X			Explanation in section 2.15
3	Proposed system allows users to manually enter data into input screens, as an alternative to uploading data.	M	X			Explanation in section 2.15
O.	**Data Download Requirements:**					
1	Proposed System allows for the downloading of predefined and ad-hoc reports determined by OMP.	M	X			Explanation in section 2.16
2	System downloads will be transmitted over an encrypted secure connection.	M	X			Explanation in section 2.16
P.	**System Alerts:** Proposed System allows OMP to manage alerts and notifications, defining tolerance levels and selecting recipients.	M		X		Explanation in section 2.17
Q.	**Data Retention Policy:** Data collected by the System must be available for a period of seven (7) years. Upon retention period completion data must be archived to permanent storage before it gets removed from the system.	M	X			Explanation in section 2.18
R.	**Disaster Recovery**: Proposed System has a disaster recovery plan which includes off-site backups and System restoration within twenty-four (24) hours.	M	X			Explanation in section 2.19
S.	**Security:**					
1	Proposed System's security model limits licensee's data access and visibility to data collected for that individual licensee and allows OMP to view data for all licensees based on specified search criteria. Encryption occurs both at rest and in flight.	M	X			Explanation in section 2.20
2	Bidder shall provide documentation outlining security controls used to isolate application services and data if proposer's solution operates in a multi-tenant hosted environment.	M	X			Explanation in section 2.20
3	Bidder shall maintain and make available for review upon request documentation regarding physical security controls, logical security controls, asset controls and human resource controls.	M	X			Explanation in section 2.20

2.1 Central Inventory Management System

B&T Requirement A1:

The Dauntless architecture provides a central data management system using Microsoft SQL Azure cloud services for data management, storing inventory, and transactional data. The system includes security and scalability features for growth as the data load increases and changes. The data for each jurisdiction (State) is secured in separate databases to ensure there is no data co-mingling as we expand our services to the entire industry.

Over the last 6 years, we have deployed our system as an integration point for 3rd party vendors submitting compliancy data to State systems running Leaf, BioTrackTHC, and Metrc, where licensees wanted better traceability than the systems provided by their State services.

Our system is designed to be an industry management service to enable the shift of burden off the State hosting model (represented by the three services above) to an industry hosted model with the State pulling (or GIANT pushing) the compliancy data as it needs it without the expensive overhead of managing a

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC R1
DATE: 4/16/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

****

Instructions: *The purpose of this form is to record proposal review notes written by* ***individual*** *evaluators for this Request for Proposals (RFP) process. It is* ***required*** *that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

****

Individual Evaluator Comments:

Organizational Q+E -

P Iowa marijuana - Manufacturing Dispensing Registration, State
Q Salesforce - Large, but ideal! Federal/45 State gov 2
P Gov aspect
Q CBD - not state (company)
- pharma product

Q Cloth - subcontractor for build (PM, development, etc)

Related Projects -

P ① Iowa RFP - Med marijuana - Manufacturing, Dispensing, Registration ?
- Related (Q - testing)
Q - Unclear of integration → How does plant info get, (WM) ?
P - Like Google maps piece

② Adhera Therapeutics
(M) Nice system but not sure of relevance 5
M - Inventory/reconciliation sent via 3rd party

③ Rooted Hemp
Hemp derived CBD 6
(M) Again, nice but not closely related

→ ④ Flake - consultant
(Q) - the one really relevant

(P) Support   Q+B - > average risks

P Good reporting from Salesforce p3

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC P2
DATE: 4/16/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

****

Instructions: *The purpose of this form is to record proposal review notes written by* ***individual*** *evaluators for this Request for Proposals (RFP) process. It is* ***required*** *that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

****

Individual Evaluator Comments:

1 Proposed Services - 1
Q 5.5 months
(M) - Manual entry (or third party request for ... like RFID, bar codes)
P Deliverables
Deployment/Delivery structure (Req, Requirements etc.)
(M) - Need third party system for plants/packages (no RFID, barcode part of system)
P Good system / [illegible] / interfaces, security
(P) 4 environments
Q Doesn't mention [illegible] but should be w/ Salesforce
Q Notifying changes via an API
Q Per Iowa: ... - reconfiguring sounds easy?
P transfers - testing - system [illegible]
P Has related POS system
P Salesforce - a well known system / good std reporting
P [illegible] easy
P Nice bulk uploads
Q [illegible] - any cost?
(P) SLAs - solid w/ Salesforce
P Salesforce - very configurable 3
P Ostis integration - API, 4
- low cost, capable, flexible, easy to use/administer

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC P3
DATE: 4/16/19
EVALUATOR NAME: Bill Lent
EVALUATOR DEPARTMENT: OIT/PMO/OMP

****

Instructions: *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*

****

Individual Evaluator Comments:

P 2 week sprints 5
gap analysis
development – includes coding Q – how much configurable
M – may not be able to get on site for training (or what else?) ?
Q – do they have, we [illegible] those responses [illegible]
(nothing in a supplement)
Data on [illegible]
P traceability looks good 10
P testing – looks good
P transfer management
P Salesforce – good for reporting
P Format data – good

good but needs third party if RFP or Barcode used

Business and Technical Requirements

Marijuana Seed to Sale Tracking System Requirement		Mandatory / Desirrable	E	CO	CU	Explanation
A.	**Central Inventory Management System:**					
1	Proposed System provides a central data management system capable of storing inventory and transaction data for all Marijuana Establishment Licensees in State of Maine.	**M**	X			The solution is a cloud-hosted Salesforce solution accessible from any device with internet capabilities. Data is aggregated from disparate systems and user types using two primary methods of integration: BioMauris customized instance of a middleware solution, Ostrij, and web-based user interfaces developed within the solution.
2	The system assigns a globally unique, non-repeating identification number for every plant and inventory item recorded in the system.	**M**	X			The system can be easily configured by an administrator to disallow duplicate values for any field. Automatically generated field values can be customized to follow naming conventions according to business rules.
3	The system assigns the identifier to prevent duplication of identifiers by licensees, providing for reliable traceability.	**M**	X			Along with the measures mentioned in line 4 above, separate licensees will be identified as unique business units. Records can be distinguished from each other by assigning business units and/or unique identifiers can include the licensee in the naming format.
4	The system is capable of using US customary and metric units for data entry, tracking and reporting.	**M**	X			Units of measure can be chosen from a picklist of defined values or sent through an API by licensees. If all units of measure are in one format, formula fields can be used to convert these values to the other system.

B.	**Web Application Interface:**					
1	The system provides a secure web-based user interface for data entry, display, and reporting by Marijuana Establishments licensed in State of Maine.	**M**		X		BioMauris will develop an integrated web-based portal requiring secure login credentials for authorized personnel at Marijuana Establishments to enter and access data values based on the state's business rules.
2	The system provides a secure user interface for OMP employees for user and system administration, and retrieval and tracking of inventory and transaction data.	**M**	X			Production environment of Salesforce can support entry, retrieval and reporting of all data with access controlled by user permission settings.
C.	**Data Exchange/Interface:**					
1	Provides secure connections for data exchange to and from ALMS .	**M**	X			The solution leverages a custom-built instance of a secure middleware configured specifically for Salesforce platforms. Ostrij facilitates integration between any 3rd party system with an API and the BioMauris solution.
2	Provides secure connections for data exchange to and from OMP data warehouse.	**M**		X		BioMauris leverages OstriJ, a configuration based API tool for all system integration. Assuming that the OMP system uses industry standard methods this will be a configuration / mapping exercise.
3	System includes web services, uses XML based open standards.	**M**	X			Both Salesforce and the Ostrij middleware solution, mentioned above, utilize XML based open stanndards.
4	Provides secure web service API for integration of 3rd party information systems.	**M**	X			The Salesforce Government Cloud environment has tight security controls to protect its 1000+ state and federal government agency clients.

5	Provides validation and alerts/notifications for validation checks on Licensee data submitted through data interface.	**M**		X		Any condition that can be defined in the data, or calculated with existing data can trigger an alert of notification that can be sent to one or many recipients. P
D.	**Reports:**					
1	Proposed system has the ability to download and search datasets and create reports based on certain criteria, this includes both predefined and ad hoc reports.	**M**	X			The solution inherently supports downloading data and generating reports based on any data field captured on a record. Filters can be added to include or exclude records which meet specified criteria. P
2	Proposed system provides the ability to a user with appropriate user permissions to build queries, retrieve data and produce reports based on defined criteria.	**M**	X			The solution has comprehensive security settings which can define user permissions by profile, including the ability to create, read, or modify reports. Reports can be filtered by defined criteria, such as only including plant records from a specific licensee or room within a facility. P
3	Generated reports can be exported to Excel, CSV, TXT, Word and PDF formats.	**M**		X		Excel and SV exports are native to the solution with a single button click and the solution can be configured to support other formats. Q
E.	**Inventory Tracking Data Points:**					
1	Proposed System allows via user interface or automated data interface input of Licensee data for all types of marijuana establishments. For each inventory transaction listed below the following information will be recorded: tag or label ID and the date and time of the transaction.	**M**	X			All information can be entered directly into the system, through an integrated web-based portal developed by BioMauris or integration with a 3rd party API. Unique identifiers would be sent by a 3rd party system and/or generated within the solution at the time of exchange. All modifications to records, including creation, are date/time stamped.

would need another vendor for RFID or barcode added cost/work

2	***View/Search.*** Proposed System includes search functionality to allow users to search for inventory items by entering a set of search criteria parameters and display the results in tabular form.	**M**	X			The solution allows for the creation of queues by object (e.g plants, patients, products) which can be defined by set criteria. Any number of queues can be created for a single object. A search bar returns query results on most fields in the system.
3	***Receive Inventory.*** System will include functionality to allow input, tracking, reporting, and storage of information about marijuana or marijuana products received at Licensee facilities from other Licensees. Data input may include, but is not limited to, the following fields: Receipt Date, Received By, Source Licensee Name, Source License Number, Order Number, Items shipped and/or received information; including but not limited to Product ID, Product Name, Batch Number, Weight, and Quantity.	**M**	X			In Iowa, the solution leverages a custom-built mobile transfer application for managing transfer of materials between licensees. The required fields are entered directly into the system or through integration with a 3rd party system. The transfer record then appears in the mobile transfer application for the driver to deliver. All data captured is stored in the solution and can be reported on.
4	***Add/Edit Location.*** System will allow input of user-defined inventory locations within an organization, including but not limited to: cultivation room, harvesting room, curing room, packaging area, storage area, and retail area.	**M**	X			Locations within a facility can be created by authorized internal users, the facilities through a web-based portal or API integration with a 3rd party system. Values are mapped to corresponding fields in the solution.
5	***Add/Edit Product Type.*** System will allow input of product types. Inputs may include fields including but not limited to: product name, product type, product ID, and units of measure.	**M**	X			Field names and value type (e.g. number, picklist, etc.) can be configured in minutes by authorized users with very little training. Actual products can be directly entered in the solution by internal users, the facilities through a web-based portal or API integration. Values are mapped to corresponding fields in the solution.

6	***Create the Work Order/Product Batch.*** System will allow for products to be composited/processed into new products. Inputs must have sufficient information so that they can be traced back to their origin.	**M**	X			Relationships between objects are configured according to business rules. Depending on the method of entry or data exchange, the new product type is related to the product(s) it came from by "lookup" fields which create relationships between objects with navigable links
7	***Internal Transfers.*** System will allow input of inventory transfers between locations within licensee's premises.	**M**	X			If an inventory item is assigned a location from a predefined list, the field indicating this location is simply updated with the new value through manual entry or data exchange.
8	***Dispose Inventory.*** System must allow input of inventory adjustments, such as disposal, waste, theft, failure to grow or seizure by law enforcement. System must automatically notify OMP every time an entry like this is made into the system.	**M**	X			Entries of this type are usually made by creating an adjustment record and relating this record to the affected inventory item. The solution has inherent capability to send notifications to designated recipients triggered by events defined by business rules.
9	***Transfer to another Licensee.*** System will allow input of inventory transfers between Licensees.	**M**	X			In Iowa, the solution leverages a custom-built mobile transfer application for managing transfer of materials between licensees. The required fields are entered directly into the system or through integration with a 3rd party system. The transfer record then appears in the mobile transfer application for the driver to deliver. Upon acceptance/rejection of transfer contents, inventory is adjusted accordingly in the solution for the licensees.
10	***Testing.***					

10.1	The System must be able to record transfers of samples to a licensed testing facility. Input may include fields including but not limited to: date of transfer, transferred by, source license number, testing facility name, testing facility license number, OMP agent name, product ID, product name, lot and/or batch number, and quantity. Test results for any Batch must be accessible by OMP and the Licensee. The System must allow OMP and Licensees to search, upload, and download test results in PDF, Excel and/or other document formats.	M	X			In the BioMauris solution in Iowa, a transfer record is created. The transfer treats each lab sample much like a product, with the "product" information containing the values required by the state. The testing facility uses a web-based portal which allows them to accept the transfer and enter results for each sample, including attaching documents such as a CoA. The results and any documents are mapped to the corresponding lot/batch in the solution, where they can be searched for, viewed and reported on.
10.2	The System must have the ability to prevent a testing facility from making any new entries if the license information indicates that the testing facility's license or certification has expired or has been revoked.	M	X			A testing facility with a revoked or expired license has their status in the solution changed to revoked or expired. These statuses prevent access to the site by users associated with the testing facility by using inherent functionality of creating workflows triggered by defined events.
10.3	The System must be configurable to include different test fields and testing methods, so that the testing facilities are able to enter their results against each test type. The system must have the ability to prevent the testing facility from entering results for a certain test type, if their certification has been revoked for that specific test field.	D		X		In the BioMauris implementation in Iowa, a sample is defined by the type (e.g. oil or product). The lab enters results in a web-based portal and the fields displayed on the interface are determined by the sample type. Test types could be displayed on the test facility's record, with authorized test types checked. Only checked fields would appear on the interface for that facility.

11	***Trip Tickets.*** System will provide functionality for medical and adult use marijuana establishments to create trip ticket documents. Trip tickets will be stored and tracked by the System. Input data may include, but is not limited to: ship from name, license number and route description. For each item include destination address, destination name, license number, address, product description, product ID and batch number, quantity and units of measure, departure time and arrival time. Trip tickets will be used as shipping documents for transfers between locations within an organization or sales between Licensees.	**M**			X	The creation of transfer records has been discussed in lines 23,29 and 31. The solution has previously leveraged custom coding which allows for documents to be created directly from any record with a single button click. Values on the document are drawn from the fields on the record.
12	***Retail Sales Transaction Data:*** Licensee retail sales transaction data must include but is not limited to: time and date of sale, license number, order number, sales items, price and quantities. For medical marijuana and medical marijuana products sales transaction data must also include the qualifying patient ID number. Transaction data must include unique transactions for sales, refunds, voids, adjustments, etc.	**M**	X			The data fields exchanged per this requirement are identical to those which BioMauris captures in the solution's implementation for Iowa's Medical Marijuana Program. All data is captured in real-time and is reportable over all dispensaries or for each separate establishment.
13	***Taxes.*** System will allow Licensees to generate excise tax reports for the purpose of satisfying reporting requirements to OMP.	**M**		X		BioMauris has a background in deriving tax figures and generating reports with their POS system, Hyena, live in Oregon. State and local taxes are calculated and data captured in the system to ensure compliance with state reporting regulations.

14	***Inventory Seizure.*** Proposed System provides functionality to allow OMP System Users to indicate inventory items have been seized by OMP.	**M**	X			The solution would include a field indicating seizure of inventory. An additional field would be added to allow users to indicated a reason or circumstances of the seizure. Sample OK .. Q - Cont.
15	***Samples:*** System must have the ability to track samples of Marijuana and/or Marijuana Products between Licensees. Input may include, but is not limited to, the following fields: date of transfer, transferred by, source license number, list of transferred products including product ID, product name, lot and/or batch number, weight and quantity.	**M**	X			The creation of transfers and mobile transfer application has been discussed in lines 23,29 and 31 above. Samples are managed and indicated the same way as "products" in a transfer of saleable goods. The receiving licensee accepts or rejects each sample, where it is credited to their inventory and debited from the shipper's inventory. P
F.	**Cultivation Facility Inventory Tracking Requirements:**					
1	All cultivation of Marijuana will be performed at a Licensed Cultivation Facility. System will allow data input of inventory transaction information via user interface or automated interface.	**M**	X			The solution is able to integrate with any external 3rd party system with an API. This is facilitated by Ostrij, a middleware solution that BioMauris leverages for integration. In Iowa's medical cannabis implementation and with other clients, the company has used web-based portals for data exchange as well. P
2	Proposed System allows tracking of clones and seedlings by count /variety until moved to the immature plant growth step, where the plants are then assigned a Unique Plant Identifier.	**M**	X			This function is executed by creating an immature plant group. As seedlings/clones reach the predefined height for becoming an individual plant, a plant record is created with a unique identifier distinguishing it from other plants. Traceability is maintained by indicating the immature plant group from which the plant came. The immature plant group record then contains a list of all plants that originated there. P

3	The System will allow the addition of plant inventory items. Inputs may include, but are not limited to, the following fields: strain, plant ID, status in production cycle, date, and added by. In addition, an attribute will be provided to allow indication of whether the plant is a seedling, clone, or mother plant.	**M**	X			Records are created manually, through web-based interface or an API. Required fields are defined by state requirements. All fields listed in this requirement are currently used for the BioMauris solution in Iowa.
4	Proposed System will allow tracking of marijuana plants through growth stages: clones/seedlings, immature plants, flowering mature plants.	**M**	X			This requirement is achieved through statuses for the aforementioned data points, e.g. type, growth stage. Different forms of plant material will be different record types (e.g. immature plants, mature plants) with traceability maintained through relationships between the records. This design is ideal in part because the data values captured on these two types of records will vary greatly.
5	The System will track transfer of plant inventory between growth stages and locations. Data input may include but is not limited to: transfer date, transfer to location, order number, list of plants transferred.	**M**	X			All data pertinent data fields are captured on the record as defined by business rules. The solution treats growth stages as statuses on the plant record and rooms are lookup fields to rooms existing in the system already. These values may be changed through direct entry, an integrated web-based portal or API. Changes on any field are audited by previous and current values, user executing the change and a date/time stamp.

6	Proposed System allows tracking of the daily application of fertilizers, pesticides, and any other compounds and/or products applied to each individual plant.	**M**	X			Additives are tracked using adjustment records in the solution. In the Iowa implementation, these fields capture product name and its MSDS, date applied, employee applying the additive, quantity applied and the item(s) affected. These values are reportable on a number of levels: statewide, by establishment, by item type, etc.
7	Proposed System allows tracking of marijuana harvesting and processing of plant products including, but not limited to: harvesting, batches, drying/curing stage, packaging, and storage.	**M**	X			Traceability is maintained by creating a relationship between the different processes and stages in the plants life cycle, from immature plant to packaging in any form. When an item is converted to a new form, its history is maintained through the relationships. Batch records contain a list of the plants in it, and batches of extract list the batches that went into it. For objects which have various stages (e.g. Batches either growing or harvested), statuses are used, with date stamps and other pertinent data being captured on the record to display the item's history.
8	Harvested plant material will be weighed at each stage of the harvesting and processing of plant products. Producers may weigh plants wet or dry/cured. Data input may include fields including, but not limited to: strain, product name, product type, product ID, lot number, Unique Plant Identifier, quantity yielded, and units of measure.	**M**	X			The solution currently tracks all stages of processing plant material from harvest through packaging finished goods. Input and output weights are captured at every stage of a plant's life. Every time a plant changes form, it receives a new unique identifier while maintaining traceability through relationships between data objects.

9	System will track packaging of harvested Marijuana. Data may include, but is not limited to the following fields: strain, product name, product type, product ID, lot number, Unique Plant Identifier, net package weight and units of measure.	**M**			X	A package would be an object in the solution. The cultivator can create a package of any plant, intermediate or finished product. The system would generate a unique identifier for the package itself and the items within the package would retain their unique IDs as well. Minor customization would be involved to create a package of items that may or may not eventually be sold. From a technological perspective within the solution, creating a package would not differ in functionality than any other group of items such as a batch or transfer. The package is created and items are placed in it. From the package record, information about the items within it is displayed, and the traceability to the contents' origins is maintained.
10	Producers may package and sell Marijuana on a wet or dry basis. To facilitate the tracing of product inputs back to their origin, the inventory of each package will be tracked by the Product ID and a Batch Number. Data may include but is not limited to: strain, product name, package ID, Unique Plant Identifier for each plant included in the Lot, weight and other units of measure.	**M**	X			The solution tracks product origins to their origin by creating relationships between objects. A batch is created and plants are assigned to the batch. From the batch record, a user can view a list of the plants within the batch. Conversely, a plant record displays the batch it is a part of, if applicable. All data fields which stay with the plant throughout its life cycle, including unique identifiers, are retained on each plant record.
G.	**Manufacturing Facility Inventory Tracking Data Requirements:**					

1	Product Manufacturers will process, package, and label Marijuana and Marijuana Products for sale to Marijuana Retail Stores and other marijuana establishments. Marijuana Products contain Marijuana or Marijuana extracts and are intended for human use including but not limited to edible products and non-edible products. System will allow via user interface or automated data interface input of inventory transaction information.	**M**	X			Products are created by manually entering the values required by the state in an integrated web-based user interface or automatically through an API. The product is generated within the solution. Each product has a unique identifer associated with it, which allows the product to be included in inventory and sales reports.
2	Proposed System tracks processing events, including but not limited to, process and yield in weight or volume, lots and/or portions used to create a batch of extract and individually packaged unit of marijuana, extract batches used to create a batch of marijuana product, and total yield of batch.	**M**	X			The solution has comprehensive capabilities for capturing the conversion of marijuana into extract, extract into bulk product and bulk product into finished goods. At each step, input and output weights/quantities are recorded and any required conversion or yield rates are calculated within the system. Additionally, the state can set conversion rate thresholds. If a batch of extract yields an abnormally low amount of finished product, the state would be alerted.
3	Proposed System tracks marijuana disposal including the following data fields: usable plant material, net weight and units of measure for all plant material, extract, and marijuana product, and reason for disposal. This should trigger an automated notification to OMP.	**M**	X			Waste adjustments are a record which is associated with the item it affects. Any required data field can be captured. These required values can differ according to the item it is associated with, as defined by business rules. The solution has powerful workflow capabilities triggered by key events. Creation of a waste adjustment record would trigger an email notification to designated recipients at the state.
H.	**Retail Store Inventory Tracking Requirements:**					

1.	Retail Stores will sell Marijuana, Marijuana Products in retail stores to persons twenty-one (21) years of age and older. System will allow via user interface or automated data interface input of inventory transaction information.	**M**		X		This functionality is generally executed through integration with the retail store's POS system. The solution is currently integrated with multiple cannabis POS systems and can integrate with any 3rd party system that has an API. Inventory transaction data would come over in real-time, indicating the purchaser's name, product information including sales price and a date/time stamp. Inventory would be automatically debited at the store where the transaction took place. If the state requires retail stores to have the ability to manually input this information, an integrated web-based portal would be developed.
2.	For registered qualifying patients of Medical Marijuana Program, the system will allow entry and validation of the patient's registration number.	**M**	X			The solution has a web-based portal with secure access for program participants who are authorized to look up and validate patients. The patient presents their card and the user enters their program ID number into the solution. This query returns the patient name, program status and any other pertinent information to validate their identity.
I.	**Audit/Investigation Reporting:**					
1	The System will provide robust ad-hoc and pre-defined reporting functionality for OMP to determine compliance with Maine statutes and rules for Medical and Adult Use marijuana.	**M**	X			Flexible and robust reporting functionality is native to the solution. Reports can be generated based on any data field contained on a record, as well as filtered to only display records meeting defined criteria. Reports can be generated to display information on one object (e.g. plants) or across objects (e.g. plants within batches). Users can drag and drop required data fields to the report.

2	The System must be able to collect and summarize in report format, data for various read/entry points in the processing of Marijuana products.	M	X			Inherent reporting capabilties allow for filtering records to meet defined criteria. If a stage in the life of a marijuana product is captured in the system, all data values associated with that stage can be reported on. The solution can apply various mathematical functions to displayed values, such as providing the state with an average weight of all harvests at a licensee's facility or across the program.
3	The reporting functionality must be capable of reporting of tracking and transaction information through the entire chain of custody.	M	X			Through object relationships and the retention of unique identifiers, a product sold to a patient can be traced all the way back to the immature plant group from which its contents were grown. Using cross object reporting functionality, multiple stages can be displayed on a single report.
4	The reporting functionality must provide the ability to analyze data and cross reference among different stages of marijuana grow cycle within vertically integrated marijuana establishments, as well as among different types of marijuana establishments.	M	X			All records are associated with an establishment through data fields captured on the record at the time the record is generated. These fields allow reports to be generated by establishment or across the program as a whole.
5	The reporting functionality will be capable of reporting over all database tables and fields within the System.	M	X			The solution has a "data in, data out" model. Any data field on an object can be reported on by simply dragging the fields over to the report.
6	The reporting functionality will allow OMP to define new reports and edit as needed without assistance or ongoing support from the Awarded Contractor.	M	X			Following intial "train the trainer" sessions, OMP staff will be able to generate reports derived from existing templates or through the creation of new templates. Native reporting wizards and reporting tools facilitate this process.

7	The System will provide functionality to export report data to variety of formats including but not limited to: Microsoft Excel, .csv, text.	**M**		X		Excel and SV exports are native to the solution with a single button click and the solution can be configured to support other formats.
J.	**System User Access:**					
1	The System must be configurable to provide appropriate levels of user access, permissions and visibility based on user groups/roles, such as Department system users and industry licensees.	**M**	X			The solution runs on Salesforce, which has very detailed security settings, enabling administrators to configure user-based permission levels globally, by data object, action, or even field. Profiles can be saved for repeated use or customized for individual users.
2	The System must be equipped with internal software security to avert unauthorized access to functionality and data.	**M**	X			The Salesforce Government Cloud was developed specifically for federal and state government agencies with high-security requirements. All users are required to have unique login credentials. System administrators can enable dual factor authentication.
3	The Department administrative users will have the ability to register through system functionality.	**M**		X		BioMauris will assign administrator role to a designated user at the state. The state system administrator can create and register other users.
4	The administrative level permissions for Licensee administrators will be limited to granting access to employees only for that licensee establishment.	**M**	X			Licensees will have one or more employees with administrator permissions (limited to accessing the data permitted by the state). These Licensee administrators can create new employees, whose records will also be generated in the state solution. All external users are tied to the Licensee they are employed with and can only access permissible data related to their own employer.

5	Proposed System will provide the ability to Licensee administrators to control employee access and visibility to types of activities and functions in the system.	M		X		As defined in line 69 above, Licensee administrators can create employees for their facilities. BioMauris will create different roles for these employees, which determine the level of access they have to various functions within the solution. This functionality is deployed for the dispensaries in Iowa to define which employees can create employees, accept transfers and verify patients, for example.
6	Proposed System must be configurable to control access level to reporting functionality based on user group/role.	M	X			The detailed security settings native to the solution include permissible activities related to reporting, including creation, visibility and modification.
7	Proposed System must be configurable to control level of access to licensee data.	M	X			Profiles can be configured to set accessibility levels related to viewing, modifying, or deleting all records in the system. This includes the ability to view or modify individual fields within records.
K.	**Audit Trail**: The System will provide full audit trail of all updates made to application data. The audit log will include date of change, user, type of change and original and changed values.	M	X			Native auditing functionality is very detailed within the solution. Field history tracking can be enabled for all fields in the solution. Changes display the previous value, new value, user performing the action and a date/time stamp.
L.	**Data Storage Requirement:** The selected vendor will store all system data and reports. The data hosted and stored by the contractor is sole ownership of State of Maine. The vendor must provide all data to the Department upon request.	M	X			All data is retained until deleted. BioMauris will provide this data to the state if requested.
M.	**Service continuity/Reliability:**					
1	Proposed System is fully operational and will remain operational at least 99.95% of the time 24 hours p/day, 7 days p/week.	M	X			The solution complies with these requirements.

2	The selected contractor must provide technical service contact information for reporting problems, such as outages and connectivity issues.	**M**	X			Salesforce is a worldwide company serving thousands of clients in both the public and private sectors. Support is available 24/7/365 with incident response time prioritized by severity level. BioMauris also has a case management system to triage issues internally and to its network of development and technical support resources.
3	The selected contractor must provide assistance to Licensees, ALMS, OMP staff and data warehouse in resolving connectivity and download/upload issues.	**M**	X			Salesforce is a worldwide company serving thousands of clients in both the public and private sectors. Support is available 24/7/365 with incident response time prioritized by severity level. BioMauris also has a case management system to triage issues internally and to its network of development and technical support resources.
N.	**Data Upload Requirements:**					
1	Proposed system allows users to verify and correct uploaded data before posting to the System	**M**	X			Salesforce utilizes a native tool called Data Loader which performs uploading and updating of records using a "wizard" which can be learned with minimal training.
2	Proposed system allows users to correct posted information.	**M**	X			Any record in the system can be edited manually by users with the appropriate permission levels. Bulk changes can be done using the Data Loader application. mentioned in line 80.
3	Proposed system allows users to manually enter data into input screens, as an alternative to uploading data.	**M**	X			Any record can be edited manually. Permission settings allow administrators to restrict edit access to specific fields by user profile
O.	**Data Download Requirements:**					
1	Proposed System allows for the downloading of predefined and ad-hoc reports determined by OMP.	**M**	X			All reports can be exported with a single button click on the report itself.

2	System downloads will be transmitted over an encrypted secure connection.	**M**	X			The Salesforce Government Cloud for state and federal government agencies encrypts all data at rest and in flight.
P.	**System Alerts:** Proposed System allows OMP to manage alerts and notifications, defining tolerance levels and selecting recipients.	**M**	X			Workflows can be created in the solution which are triggered by defined events. Potential actions resulting from these events include field updates and emailing customized templates drawing on data existing in the solution. Users and non-users can both be designated as recipients.
Q.	**Data Retention Policy**: Data collected by the System must be available for a period of seven (7) years. Upon retention period completion data must be archived to permanent storage before it gets removed from the system.	**M**	X			All data is retained until deleted.
R.	**Disaster Recovery**: Proposed System has a disaster recovery plan which includes off-site backups and System restoration within twenty-four (24) hours.	**M**	X			Salesforce has detailed documentation regarding its disaster recovery and backup protocols. BioMauris will provide these specifications upon request.
S.	**Security:**					
1	Proposed System's security model limits licensee's data access and visibility to data collected for that individual licensee and allows OMP to view data for all licensees based on specified search criteria. Encryption occurs both at rest and in flight.	**M**	X			The Salesforce Government Cloud encrypts all data in flight and at rest. The system administrator at the state can configure security settings to allow or prevent access to any dat object or individual field based on user profile. All data is associated with a business unit (Licensee). Licensees' profiles will have access to data pertaining to their busines unit only.

2	Bidder shall provide documentation outlining security controls used to isolate application services and data if proposer's solution operates in a multi-tenant hosted environment.	**M**	X			Salesforce publishes this documentation and BioMauris will provide upon request. Much of it is publicly available online.
3	Bidder shall maintain and make available for review upon request documentation regarding physical security controls, logical security controls, asset controls and human resource controls.	**M**	X			Salesforce publishes this documentation and BioMauris will provide upon request. Much of it is publicly available online.

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC
DATE: 4/18/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Background and Org view
Founded in 2013; a solution to track inventory for pharm products
Cannabis POS in OR
Runs on Salesforce; SF security model; data in data out; real time reports; event based notifications;
Feb 2018 – contract with IA med marijuana program to manage sales, inventory and patient/caregiver registry
Projects: 1. 2018 – IA Med Marijuana Program, sales, inventory and patient/caregiver registry; 3 modules – manufacturing, dispensing and registration; web based form for patient and caregiver registration and application submission, digital signature; document uploads; payment processing; products can be traced back to the mother plant; lab can enter test results; maps results directly into state solution; tracks sales and sends info to state; mobile transfer application integrated with google Maps; trip duration notifications; no mention of cultivators 2. 2013 - Adhera Therapeutics; track inventory and prescription trends of pharm product; 3. Rooted Hemp Co – wholesale and customer direct distribution program for a line of hemp-derived CBD oil products; on-site inventory management; reconciliation between physical and system inventories; or through API; if discrepancies, a notification is sent; set threshold for product quantities; ecommerce marketplace; secure payment gateway; wholesale and discount prices;
Subcontractor: Flok consulting – Arch., Design, Dev. and PM.
No litigations; 6 employees; small; <5 years of business
D&B – 7/9 high risk for viability, portfolio; no financial record
Cert of liability insurance attached.
Proposed services: inventory tracking and management; payment processing, development of integrated web-based interfaces, API integration; database management, sales tracking, alerts, reporting and analytics tools. Will be configured and customized to meeting ME's needs.

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Runs on Saleforce; cloud-based SaaS, accessible 24/7/365 from any device with internet; salesforce capabilities, certifications, audit trail, etc. Data centers separate from other clients' hardware. Will provide unlimited support to OPM and licensees; has reconfigured salesforce objects; plants, batches, lots, ect – to provide traceability. API middleware solution OstriJ to exchange data with compliance solution; Agile approach; multiple instances of the solution for different phases of the project; Dev, QA, UAT and Production envt's. Onsite kickoff meetings and initial design sessions; tech func req's; PM; Teck lead and BA will be onsite; Outline req's, user stories, documentation on data objects and fields; alerts and notifications; test cases; reports and dashboards; permissions and UI/UX. 2-week sprint schedule; demo at the end of each sprint; gap analysis for config and cust. Daily stand-ups; design, config, cust., data management done internally; API arch. And UI/UX and coding – subcontr. Unit testing; integ., functional and system testing; UAT – BM testing team, then OMP and other users; go/nogo meeting; operational readiness assessment – from UAT to weeks after go-live. Proposes hiring and training support resources in Maine; will provide unlimited support and training for the life of the contract. Train the trainer approach; training procedures documented and manuals produced;
Provide each record a unique identifier; agnostic to how licensees represent their data (US vs metric units); chain of custody is maintained; provides traceability; can trigger automated messages and alerts;
System upgrades provided at no cost;
In IA – custom-built mobile transfer app for managing transfers

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc.
DATE: 4/19/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DARS/OIT

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Individual Evaluator Comments:

Enterprise level cloud-based traceability solutions for the marijuana industry using an agile methodology
Componentized industry infrastructure platform and an origin to consumption traceability service
Allows to deploy and connect services to any of the nine entity types (cultivator, manufacturer, distributor, lab, retail/dispensary, government, software services, hard goods providers, and professional services)
Capability to connect 3rd party applications and interfaces
Customized interface designed specifically for an individual customer needs or industry-wide centralized systems
Global Interoperable Application Network Technology (GIANT) - centralized industry system that levels the playing field for all business within the industry
Hadn't focused attention on the centralized State systems, industry first.
Doesn't have previous governmental contracts or large enterprise business opportunities to list
Clark Musser, CEO, spent 15+ years working for Microsoft
Brady Miller, COO, 25 years of multifaceted strategic leadership
Lists background of top leadership
Projects:
1. Uncle Ikes industry leader cannabis merchant in Washington State; data migration and consolidation for the 3 stores operating a total of 24 point of sale lanes; One store per week was deployed, over 3 weeks solution includes customizable compliance checking validations as a part of a sales transaction Business operators are able to verify inventory quantities in real time with a complete audit trail back to the transaction
2. Lowe's Companies Incorporated DemandLink (subcontractor) provides enterprise level sales analysis, forecasting and inventory management tools to Lowe's Companies Inc. for live-goods. Tools allow Lowe's and their over 100 vendors to collaboratively forecast sales and grow plans for up to 3 years in the future through a web-based interactive application Centralized Inventory Management (CIM) allows Lowe's to accurately monitor optimal inventory levels at their 1700 stores and alert vendors when they are out of compliance
3. Cannabis / Marijuana Industry Clients Focused primarily on the origin to consumption traceability market since June 2013 Worked with licensees in the industry to develop an enterprise level software service that is componentized and designed specifically for licensees within the marijuana industry TraceWeed - product for cultivators and manufacturers Korona – for retailers

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc.
DATE: 4/19/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DARS/OIT

Soro – CRM for industry All 3 connect to GIANT platform
References from industry clients are provided
Subcontractors: DemandLink – demand planning; ComBase USA – subsidiary of ComBase AG in Germany, software development, POS and inventory development
The positions on the org chart for Maine support are not named
Litigation: none
Conflicts of interest: none
Certificate of liability insurance attached
D&B report: Supplier eval risk – 9/9 (high); financial stress class – 4/5 (high); credit limit – low risk; viability – 6/9 (moderate); portfolio – 9/9 (high), small <10 and <5 years in business
Proposed services:
(GIANT), is a cloud-based platform with a universal API maximizing connectivity and data transferal between services connected to the platform
GIANT infrastructure platform is hosted on Microsoft Azure (SQL and web services) and accessed through user or ID authenticated restful API or through interfaces that allow for manual, semi-automated, or automated connections to the service (through the API)
Five logically separated environments for development, test, pre-production/UAT, production, and training/sandbox; they include database, middle-tier, and front-end (web) components.
Available 24 hours a day, 7 days a week
All of the modern major browsers and use responsive design for mobile access
Optional Windows apps and mobile apps available for using NFC/RFID scanning and smart card user identification badge ID login on PC's or mobile devices
Driven by a rules engine, allows for quick configuration, references, limits, thresholds, sizes, measurements, restrictions,
Customization is simplified and allows for functional changes; partner/subcontractor on board to focus on deploying customizations
Unlimited traceability implementations across the industry.
The project team will walk through the requirements with the State to determine if there are any configurations or customizations necessary
Will provide an extensive system configuration document
documentation and user manuals - inline contextual help, pdf, video, web site, blog, knowledge base; a link provided for an example of a user manual
Will have a detailed architecture document detailing all of the systems, hardware, and configurations for the State
The API is fully documented and will be modified to include any configurations or customizations needed
Extensive data/access/change/error logging/monitoring architecture; they will expose the logs to the administrative interface for ad-hoc review and the documented process for accessing and analyzing the data
Any interfaces can be integrated with push/pull mechanisms to provide and/or display data
Any and all API functionality can be reconfigured or customized to meet different or changing needs
Uses multi-tier hardware + software authentication and tokens throughout the software
A combination of written, multi-media and live training will provide a breadth of information for all users (trainers, administrators, and end-users)
Online user guides include diagrams, screen shots, and examples of how to use our system
Video guides for Maine implementation will also be made available.

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc.
DATE: 4/19/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DARS/OIT

Employs an agile approach to software development, with weekly development and testing cycles, and monthly release cycles for scheduled database and web site software releases
The GIANT system tracks every transaction, the amounts, date/time, and the parties involved
If awarded the contract, will establish an office in the State of Maine and hire a project manager (PM) based in that office

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Bio-Tech Medical Software, Inc. dba BioTrackTHC
DATE: 4/22/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Org overview
Incorporated in the State of Florida 11 years ago
Last 7 years for private sector marijuana businesses
5 years for government agencies
Possesses 3 actively utilized marijuana seed-to-sale inventory tracking and management Commercial off the Shelf (COTS) / Software as a Service (SaaS) solutions; for state-recognized businesses and for government agencies; 2,300+ medical and recreational marijuana production and retail dispensary facilities across thirty 34 states, the District of Columbia, Canada, Puerto Rico, South America, Australia, and New Zealand use the business seed-to-sale software
Deployed to 10 government programs
Use of the more simplistic barcode methodology "due to the increased costs and the lack of viability of RFID systems within an indoor marijuana cultivation setting"
Commits to sending project team members for on-site visits to the location of the State's choosing
Projects:
1. Illinois Department of Agriculture, Bureau of Medicinal Plants (ILDOA) software and implementation services to install a modified commercial off the shelf software product that is configured or customized to meet Illinois' functional, technical, business, and legal requirements for administering the Medical Marijuana Program (MMP). Allows Dispensaries to validate, during each point-of-sale transaction, the registration status of qualifying patients and, designated caregivers, the amount of medical marijuana each patient or caregiver is allowed to purchase in a given transaction, and the patient's or caregiver's designated Dispensary Developed over 50 significant modifications to the solution Real-time bi-directional integration with other state agency systems
2. New York State Department of Health, Bureau of Narcotics (NYSDOH) Technical services related to the implementation and support of a cloud-hosted Seed to Sale Tracking Software System for New York State's Medical Cannabis Program To be utilized by organizations registered with the NYDOH to cultivate, manufacture, distribute, and dispense medical marijuana in New York State, as well as provide NYDOH the ability to access the data of each registered organization View each registered organization's data concerning the growing of marijuana through the manufacturing, transport, distribution, and dispensing of medical marijuana products and to effect a total recall of a lot(s) of medical marijuana product if necessary Track and trace marijuana plants, marijuana plant derivatives, and marijuana products throughout the product lifecycle—from seed to sale Configuration and customization were needed Delivered the custom solution in 217 days

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Bio-Tech Medical Software, Inc. dba BioTrackTHC
DATE: 4/22/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

3. Department of Health and Social Services (DHSS), Office of Medical Marijuana (OMM) Included the replacement of a manual identification card application process, from client submission through card printing; Provides a user interface for entering applicant data, for physician certification including uploading of medical records, and for OMM personnel to review those applications in electronic format Established common reports, provides ad-hoc reporting capability for the database, and allows for the robust search and retrieval of OMM specific data Incorporation of data from licensees and lab testing facilities related to inventory and sales
Subcontractors: none
Conflicts of interest: the bidder mentions about previous claims by competitors regarding providing the solutions to both private and government services, but affirms that there is no conflict of interest
Org chart positions are not named
Litigations: See exhibit B
D&B report: low to moderate risk range for a number of indicators
Certificate of liability insurance provided
See Exhibit E for licenses and certifications
Proposed Services:
Proposes a Commercial Off the Shelf System (COTS) hosted Software as a Service (SaaS) application that provides the identification and tracking of medical and adult use marijuana in all its forms
Comes out-of-the-box with the ability to track medical and adult use marijuana production, transfer, sale and inventory, purchaser verification, laboratory testing, collecting, reviewing and analyzing all data
Accessible via the World Wide Web to any internet capable device with a modern web browser, with 24-hour availability; Chrome, Firefox, Safari, Opera, and Internet Explorer
The only cost to users to access the BioTrackTHC proposed System would be the cost of anti-counterfeit plant and package tags; indirect cost of internet access
Free and publicly available API
Tagging marijuana plants and products through printable anti-counterfeit tags
Proposed solution allows users to purchase disposable print-ready tags without the cost of expensive scanners
Label rolls will be purchased through BioTrackTHC's proposed solution
Embossed with holograms and QR codes which identify the licensee who has purchased the label rolls
Not unique identifiers which need to be deducted or accounted for; they are designed to provide anti-counterfeiting and proof of origin without burdening the system with pre-allotment
Any label that is found to not possess these security features shall be considered invalid
Once a licensee receives an official label roll, they will be able to load them into their label printer
The identifiers are generated on an as-needed basis for the licensees
Request new tags from within the BioTrackTHC solution
Tags made ready for delivery within five 5 business days
PM and dev. - solicit input from OMP personnel and other State stakeholders for System configuration/customization—fields for data capture, workflow and functionality, and preconfigured reports and/or dashboards—and will begin development upon final approval from the State's project team
Scalable architecture – 2 application servers that are delegated by the front-facing load balancer. The application servers then interface with the back-end database, storing no data on their own

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault
DATE: 4/16/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Org qualifications and experience
COTS SaaS platform; 450+ implementations; Amazon AWS Cloud-based;
Focus on Business Process Automation; modernize documentation and processes
Wholly owned subsidiary of GRM Management Services, GRM est. 1/1/1990, privately held – content management and document storing company, offices in 15 major locations; 550 full-time and 50-100 part-time employees; Implementation partner – ProCom consulting; HQ – NJ;
Project services location Tempe, AZ; # of experts for the project 200+
VV transforms manual and paper based processes into digital environment
Selected by VT for their Marijuana Registry system.
Subcontractor: ProCom Consulting – system implementation, PM, data migration; SME's in licensing and business regulation
Projects: CA Gambling – Data management system; AZ Gaming – DMS; FL Substance Abuse and Mental Health,
Discovery; Configuration; Workflow development; Integration; Documentation; Training; PM; Infrastructure; Data – conversion and migration; On-going support
Org structure – Exec sponsors are under PM
No pending litigations; no known conflict of interest
Type 2 SOC 2 and Type 1 HIPAA reports available upon request
Certificate of liability insurance attached
D&B submitted separately – moderate risk of severe financial stress
Proposed services
Initial waterfall – requirements gathering, shift to agile; requirements – Detailed Specifications Document listing each function and how's and why's; create circumstances in addition to requirements for role-play; once SD is signed off – begin implementation
iForms – customized by template builder; workflows identified and established; direct access for everyone into the system;
Core code – standard for all clients; Global services – customizable through drag and drop configuration using business rules, iForms and workflow template builders; Clients can tweak functionality; third level – modules perform tasks pertaining S2S requirements
iForms – used by industry and state users to create document templates through drag & drop functionality; data is validated as entered
Uses REST API of integration; older API's are available as well; provide utilities that capture files from devices, FTP's, email and file server locations. API's are published, no link provided in the response
Users can access through modern web browsers using desktop, laptop or mobile device; off-line access is available too
Environments- Dev, test (UAT); Prod;

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EVALUATOR DEPARTMENT: DAFS/OIT

PM approach description uses both agile and waterfall terms
Train the trainer; end user/staff training 3 sessions; admin training 2 sessions
Support hours – ten or nine hours (typos in the text); 24-hour available at an additional charge
SLA's are talking about client installing the fix?
Couldn't find explanation on how to link the ID's with actual plants
Encryption at rest and in transit

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Metrc LLC
DATE: 4/19/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Qual.'s and experience
Web-hosted Software as a Service (SaaS) Seed to Sale State solutions in 12 states, across the country, for both medical and adult use marijuana programs
Has worked extensively with government clients
Rapid application development (RAD) methodologies including agile and DevOps that enable to quickly develop enhancements and extensions.
Drill down from aggregated government-wide data analytics to individual plant tag data.
Presentation of software and system architecture, web portal architecture, disaster recovery and business continuity procedures
Use of RFID tags to provide a robust level of security
Under 120 days of implementation
Implementation in 12 states
Utilizes a Restful Json API and/or .CSV uploads for integration
Integrated with over 100 Point of Sale systems that the medical marijuana industry utilizes in their business processes
Leadership team - more than 30 years of supply chain track and trace professional experience; deployed the first ever governmental state marijuana regulatory program in the State of Colorado in 2011.
Lewis Koski listed in org chart as COO
Projects:
1. State of Colorado, Marijuana Inventory Tracking System for the Marijuana Enforcement Division; first state marijuana track and trace software solution; tracks both the Medical and Recreational (adult-use) marijuana markets, on behalf of the State of Colorado, utilizing RFID Unique Identifiers integrated inside the Metrc software licensee businesses report into a state system that would be used to audit data for regulation, inspection and enforcement purposes. Awarded in 2011; Contract extended, on-going
2. State of Ohio, Ohio Medical Marijuana Program Ohio adopted Metrc as the electronic data base designed to support the state regulation, monitoring, licensing and ongoing operation and oversight of the Medical Marijuana industry. Provided Ohio with an additional software solution to create, and make available, a listing of approved Product Identifiers for all permissible Medical Marijuana products that will uniquely identify each brand of products by dose. Awarded in 2017, on-going

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

3. State of Oregon, Oregon Liquor Control Commission – Oregon Cannabis Tracking System; Seed to-sale inventory tracking system to prevent diversion of marijuana, allow for efficient tax and inventory audits, and facilitate enforcement activities. The ability to track individual plants and lots while recording their movement through the production process and the chain of commerce from immature plant to final sale to consumer. Now used for both Medical Marijuana and Recreational (Adult-use) Marijuana markets RFID Unique Identifiers integrated inside the Metrc software Awarded in 2015, on-going
Other projects/clients: MA, LA, CA, etc.
Subcontractors: none for this project
No litigations
D&B: Viability – low risk; Portfolio – low risk; report hard to follow due to formatting; subsidiary of Franwell
Certificate of liability insurance attached
Conflict of interest comments by the bidder: Lewis Koski has been employed by the company in 2019; and reduces his involvement with FRKO as an advisor
Proposed Services
Worksheet provided only for detailed business and technical requirements
Central data management system capable of storing inventory and transaction data for all Marijuana E stablishment Licensees; Businesses report cannabis supply chain activities to their specific license, via data entry or upload (AP I or .csv) and the state regulatory agency is able to view transactions posted in real time. The state will have a dashboard for the entire state and then individual dashboards per licensee Assigns a nonrepeating, globally unique Hex_ID identifier for each plant and each distinct progeny unit (plant, quantity, and product); issuance of an encrypted radio frequency ID (RFID) tag to eligible licensees for every plant or unit. globally unique identifier called Hex-ID™ (Hex-ID): five dimensional cypher which we assign to each traceable item; numbering provides more than one quintillion permutations to support globally unique tagging codes; Web services are created using C#, HTML5, RESTful methodology, and JSON; Web service supports generic RESTful integration with regulatory solutions. Data transmitted through this interface receives immediate format and data validity feedback Ability to download and search datasets and create reports based on certain criteria, including predefined and ad hoc reports; Available in standard industry formats such as PDF, MS Excel, MS Word, and CSV provides the state with the ability to run adhoc reports via the Metrc database query function. State users may define and create their own custom reports using SQL queries, interactively explore the resulting data set and export the data to PDF or Excel. Metrc solution reports can be exported or downloaded in Microsoft (MS) Word, MS Excel, and file form ats such as CSV or PDF. Data entry, via direct data input or by utilizing a Restful Json API and/or .CSV upload A searchable tabbed grid organizes reported data throughout (such as licensees, manifests, employee, patients, plant additives, package trace, lab results, and so on) by both the industry and by the state enforcement

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC
DATE: 4/22/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Org overview
Delivers marijuana-tracking technology to state and local government agencies and commercial private businesses
Processes more than 750,000 transactions totaling more than $50 million in medicinal and recreational marijuana sales for 1,800 government and business entities
State of Washington; Commonwealth of Pennsylvania have selected MJ Freeway seed-to-sale tracking system for their marijuana programs
Will support API integrations, though some customization may be required
Agile approach
Capture requirements, design, build, test, and deploy solution components
Can assist facilities on utilizing and incorporating multiple tracking technologies, e.g. traditional tagging capabilities, RFID tags, BLE (Bluetooth Low Energy) that replace NFC or RFID Technology
Tagging addressed in cost proposal
Projects:
1. Pennsylvania Department of Health Medical Cannabis Program Implementation, manage, and support of a hosted, Software as a Service (SaaS) medical cannabis Seed to Sale tracking system Web-based enterprise-wide system supports DOH and external users - patients/caregivers, practitioners, medical providers, growers/processors, dispensaries, approved laboratories, clinical registrants, academic clinical research centers, approved DOH staff, and authorized representatives of other Commonwealth agencies Implementation of a hosted SaaS registry for patients, caregivers, practitioners and medical providers, which integrates with the Seed to Sale system to track patient dispensary activity Providing POS, traceability, and medical registration for 30 locations and over 100,000 patients
2. Washington Program Liquor and Cannabis Board Traceability Solution (WSLCB) Implementation of a hosted, Software as a Service (SaaS) cannabis Seed to Sale tracking system, which monitors, controls and reports on activities of authorized producers, processors, and dispensaries Conversion of three years of cannabis tracking data from the prior tracking system; coordinating the cutover of all licensed businesses in the program to the new system Gather and track data related to inventory, Product harvesting, Product transfer, Product transport, Product disposal, quality assurance, retail sales transaction data, and tax information from all Marijuana Licensees System integrates with third party systems to extract data necessary to track and confirm compliance Tracks Marijuana and Marijuana products through the supply chain

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC
DATE: 4/22/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

Provides functionality to assist with analysis of the information, auditing operations, and enforcement to ensure compliance
Subcontractors: none for this implementation
Litigations: See the list in the proposal
D&B: 1R4; credit appraisal – 4/4 (limited); viability 5/9 (moderate); portfolio – 7/9 (moderate – high)
Ins info provided
Conflicts of interest: none
Proposed Services:
Work through agile/waterfall sprints except for project management
Review the security, testing, operations, and support efforts and desired improvements through the lifecycle of the project
Formal deliverables will be created and modified during sprints
Upon completion of a sprint, deliverables will be submitted to OMP for review and approval
List of deliverables provided
Commercial Off the Shelf System (COTS) hosted Software as a Service (SaaS) application that provides the identification and tracking of medical and adult use marijuana in all its forms
For purposes of tracking medical and adult use marijuana production, transfer, sale and inventory, purchaser verification, laboratory testing, collecting, reviewing and analyzing all data needed to effectively manage the Office of Marijuana Policy
Leaf Data Systems and MJ Platform are developed
Multiple deployment approaches
Agile and traditional waterfall approaches; implement a combination of these approaches
Collaborative methodologies that include Joint Application Design practices
Workflow diagram provided for waterfall/agile/SCRUM processes and events
Graphic representation of the workflow of Leaf Data Systems
At least four environments - Development, User Acceptance, Training and Production
Accessible via all devices via any major browser, with 24hour availability
Capture all Business Requirements related to validation and verification and configure/customize solution
Perform all integrations required for the MJ Freeway's service to integrate with State Licensing Systems
Agrees to all deliverables
Track each plant and each gram of marijuana throughout the entire cultivation and distribution cycle: propagation, cultivation, harvest, post-harvest processing, testing, manufacturing, distribution, processing, inventory, and finally the point of sale
Destruction and disposal are also captured
Provides numerous unique data points - including manufacture date and expiration date, throughout the entire product history, ensuring accurate data for managerial and compliance reporting, as well as enabling efficient and accurate product recalls
Maine will have the ability to see all marijuana, in all locations, and in all forms
Each object in Leaf Data Systems' database, including each plant, product, and inventory item, is assigned a globally unique, non-repeating identification number upon creation within the database table.
For users who integrate with Leaf Data Systems through the API, this identifier is included in Leaf Data Systems' API response code so that it can be recorded in the user's inventory tracking systems
For users who choose to interact with Leaf Data Systems via CSV upload, an export of assigned unique identifiers will be provided following each file upload that creates new objects

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC
DATE: 4/22/2019
EVALUATOR NAME: Lusine Tshagharyan
EVALUATOR DEPARTMENT: DAFS/OIT

Tags bearing the unique ID are attached to every item, including plants, packages, and infused or edible products.
Leaf Data Systems supports both RFID and barcode tags.
Supports both US customary and metric units
Three methods to secure interface: RESTful API, CSV Upload, Data Entry

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC
DATE: 4/21/19
EVALUATOR NAME: Brigid Palmer
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Located in Bend, OR
Uses Salesforce
Google maps mobile device tracking
Client Iowa Dept of Public Health since 2018. Manufacturing, Dispensing, Registration
Client Adhera Therapeutics (no dates given) pharmaceutical tracking
Client Rooted Hemp Co (no dates given) manages website
Subcontractors Flok Consulting – 4 senior architects, 12 developers

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc.
DATE: 4/25/19
EVALUATOR NAME: Brigid Palmer
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Located in Redmond, WA
GIANT cloud based traceability custom solution
No current state experience
TraceWeed Korono Soro
Subcontractors DemandLink and COMBASE USA, Inc. (Germany)
Microsoft SQL Azure cloud
Liability Insurance

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Bio-Tech Medical Software, Inc. dba BioTrackTHC
DATE: 4/24/19
EVALUATOR NAME: Brigid Palmer
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Located in Fort Lauderdale, FL
3 COTS custom solutions, business and government. CO,WA,NY,IL,DE
Subcontractors – none
65 employees
Soc2 Type2 in process
Purchase anti counterfeit label rolls from vendor
Unique ID created as needed
Amazon AWS Cloud solution FedRAMP High Baseline
Agile and RAD methodologies
Existing solution meets requirements

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault
DATE: 4/22/19
EVALUATOR NAME: Brigid Palmer
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Located in Tempe, AZ
Waterfall in first phase, then Agile
Hosted on Amazon AWS Cloud
Premium Support (24/7/365) at an additional cost, else M-F 8-5
Undergoes annual Soc2 Type2 audit
VV Team will work with OMP to meet OIT Policy requirements (paraphrased)
Core upgrades affect all clients
200+ VV employees with similar expertise to OMP project
Subcontractor ProCom

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Metrc LLC
DATE: 4/23/19
EVALUATOR NAME: Brigid Palmer
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Located in Lakeland, FL
Government solutions experience
Colorado 1st statewide contract in 2011
Has since contracted with 10 more states plus DC
Existing solution meets requirements list
Uses RFID unique identifiers, Hex-ID™
Work Plan is absent

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC
DATE: 4/26/19
EVALUATOR NAME: Brigid Palmer
EVALUATOR DEPARTMENT: DAFS/OIT

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Individual Evaluator Comments:

Located in Denver, CO
Leaf Data Systems
Data Breach Litigation and Claims. High security risk?
PA, WA clients
AWS Government Cloud solution
Agrees to SOC2 Type2 audit
Merger in 10/2018 with MTech Acquisition Corp

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC
DATE: 4/17/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

****

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Individual Evaluator Comments:

Overview of the Organization
P – Already implemented end-to-end tracking solution for cannabis at a state level
P – Manage seed-to-sale tracking and patient registration and has developed a point-of-sale system in Oregon (one of the oldest markets for cannabis)
P – Their product runs on the Salesforce platform which is already used at a federal and state level also large companies such as Amazon, American Express and Deloitte
P – Access can be configured by user profiles and data exchanges can be either one way or two way which is dictated by the State
P – Any data captured within the system can be used for reporting purposes in real time and reported in a variety of ways, graph, chart etc.
P – Access is denied to HIPAA information
P – Alerts can be used for account updates, low inventory, shipment tracking, notifying law enforcement and more

Projects
P – BioMauris was awarded the contract to manage sales, inventory and a patient/caregiver registry for the Iowa Department of Public Health.
P – The system manages the patient registry, manufacturer's inventory, lab results, dispensaries and has the ability to track the product through each phase

Subcontractor/Org Chart/ Financial Viability
P – provided information on the subcontractor, provided an org chart and the Dun & Bradstreet information.
M – No information on the qualifications for the people within the org chart was provided

Certificate of Insurance
P – provided a certificate of liability insurance

Conflict of Interest
P – no conflicts of interest

Services to be Provided
P – The product is customizable in addition to the inventory tracking and management, payment processing, web interfaces, database management, sales tracking, automated alerts and analytics
P – There is overlap in the current functionality of the BioMauris's product and OMP's requirements
Salesforce
P – BioMauris's product runs on Salesforce which is highly configurable and flexible in customization

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC
DATE: 4/17/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

P – The product is accessible 24/7/365 from any device with internet connectivity
P – Salesforce is used by companies in high security industries, NASA and DHHS
P – Security settings are also configurable: dual factor authentication, unique login, required password changes and activities within the system are tied to users
P – BioMauris has never had a client need to contact Salesforce directly
P – BioMauris provides technical support and OMP primary contact will have email and telephone access to members of the development team
Ostrij
P – This platform will integrate with OMP and all other State systems or third parties
P – Used for multiple integrations with Iowa's seed-to-sale

Implementation Methodology
P – The kickoff and design will be broken into two week sprints followed by a demo to provide opportunity for feedback and reduces rework
P – BioMauris will provide a complete gap analysis to determine what customization and configuring is needed to meet the business requirements of the project
P – UAT testing will be completed by both BioMauris first and final testing will be completed by OMP
P – Testing will take place in separate environments
P – BioMauris uses an operational readiness assessment (which was successfully used in the implementation of Iowa's product and used with several other clients) to assess the viability of the product before going into production
P – BioMauris provides training
M – With no office in Maine they propose hiring and training support resources
P – Provide unlimited training and support services for the life of the contract
P – Training is documented and detailed in manuals

Business Requirements
Central Inventory
P – All but one requirement exists in the system
P – The secure web-based interface will be created by BioMauris
P – Each user has unique login credentials
P – Unique identifiers are used for each record
P – External users use secure integrated web-based sites developed based on state requirement

Data Exchange/Interface
P – All requirements either exist or can be configured
P – Connections are secured using Salesforce Government Cloud which contain the same standards used for over 1,000 federal and state agencyies

Reports
P – All requirements exist or can be configures
P – User permissions can be used to limit users access to data
P – Excel and CSV exports are native to the product and the system can be configured to support other formats

Inventory Tracking Data Points
P – All requirements already exist
P – Data layouts are configured to capture data values dictated by the state

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC
DATE: 4/17/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

P – Any field in the data layout can be queried
P – A cannabis product sold can be traced back to any of the previous stages in its life cycle
P – Individual plants carry a unique identifier and can be tracked by location which also carries a unique identifier
P – Plant data such as weight, additive and waste (trimmings) can be tracked

Testing
P – All requirements either exist, need configuration or customization
P – If a sample fails testing, alerts will be sent and the batch will be flagged to prevent product from being sold

Cultivation Inventory Tracking
P – All requirements either exist or need configuration
P – The system can track a plant through all growth stages and locations. Every time a plant changes form it receives a unique identifier while maintaining traceability through all stages.
P – Tracks application of fertilizers, pesticides etc.

Manufacturing Facility Inventory Tracking
P – All requirements exist on the current platform
P – The system can capture the conversion of the plant into extract, extract into bulk product and bulk product into finished goods.

Retail Store Inventory Tracking
P – All requirements exist or can be configured
P – The system can handle both retail and medical marijuana programs sales information
P – Sales data to be communicated into the system will be driven by OMP requirements

Audit/Investigative Reporting
P – All requirements exist or can be configured
P – The system has a data in, data out model where any data entered can be queried
P – The system has a report wizard to walk users through the process of creating a report

System User Access
P – All requirements exist or can be configured
P – Unique login credential are required for each user
P – An administrator role is designated to user with the state and they can create and register other users
P – the level of access is controlled by users permissions
P – Field history tracking can be enabled to show changes made to a data field. It will display the previous value, new value, user performing the action and a date/time stamp

Service Continuity/Reliability
P – All requirements exist
P – support is available for the system 24/7/365

Data Upload/Download and Security
P – All requirements exist
P – All data is encrypted at rest or in flight

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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Standards and Performance Measures
P – Salesforce performs maintenance approximately every quarter P – System upgrades are provided with each of the 3 annual system release at no extra cost P – Disaster recovery data is up to the las committed transaction and saved on a disk at the disaster recovery data center and backed up at the primary data center P – Disaster recovery is tested to verify recovery times P – Data is stored in the U.S. P/M – Back up retention is 90 days M – No mention of a SOC 2 audit, security scans

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc.
DATE: 4/22/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

****

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Individual Evaluator Comments:

Qualifications and Experience
P – Designed to support small farms to large enterprise business
M – No previous governmental contracts
P – The leaders of Dauntless are well qualified with decades of experience
P – Developed a point of sale system for marijuana sales
P – Focused on the origin to consumption traceability since 2013
Dauntless uses three different systems to connect to their GIANT industry platform for provide full origin to consumption service
P – Provided several examples of their current customers satisfaction with their customer services and systems

Subcontractors
Two subcontractors are used by Dauntless. Demand link offers data translation services making data useful and easy to understand. Combase USA offers point of sale and inventory management systems.

P – both subcontractors have over 25 years of experience

Staffing Plan
P – A staffing plan has been created which covers areas from implementation, testing and deployment of the system to working with retailers.

Litigation
P – None

Financial Viability
A Dun and Bradstreet comprehensive insight plus report has been provided

Licensure/Certification
None

Conflicts of Interest
None

Certificate of Insurance
P – A certificate of liability insurance was provided

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc.
DATE: 4/22/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

Scope of Services and Deliverables

P – The platform is hosed on Microsoft Azure and allows for manual, semi-automated or automated connections
P – Any 3rd party service provider can interface with Dauntless provided they can connect to the same API
P – Five environments are available for development, test, pre-production/UAT, production and training
P – The cloud services are available 24/7 and access can be through all major browsers and mobile access.
P – The system can be configured and customized to meet the needs of the State requirements
P – Documentation and user manuals are provided in a variety of forms, pdf, video, web site, etc.
P – Interfacing with ALMS and OMP data warehouse will be done using API and there will be at least on dedicated resource for the integration
P – Dauntless has a training strategy to include a multi -faceted approach using written, multi-media and live training
P – An online guide including screen shots, diagrams and examples are available for use with the system
P – Licensee or user access is done through an authorized agent of the state
P – Service support is provided with dedicated phone lines, online chat and email contacts staffed with trained Dauntless support personnel.
P – 24/7 support coverage will be provided
P – All databases are incrementally backed up on an hourly basis and fully backed up nightly. If a data restoration is needed it is never more than an hour old
P- Backups are maintained in a dedicated cloud environment for at least 6 months and archived indefinitely
P – Fees can be configured based on tax and fee rates. A notification can be sent via email, text or other method
P – The system can be integrated to allow for online payment
P – A dedicated project manager will be assigned and on site to deploy the system and manage the project during the entire duration of the contract

System Requirements

P – Enforcement services can be through NFC or RFID
Q – In the least burdensome version, the licensee can choose to implement NFC or RFID by upgrading their system or not. Would that limit enforcement if they chose not to?
P – Establishments, caregivers, dispensaries, manufacturers, testing facilities, transporters, etc. are able to enter all data transactions through the interfaces to manage current inventory, change locations, state of being, adjust quantities, etc.
P – The system can distinguish between medical and recreational users
P – Customer limits can be set which allow warnings to retailers and the system will track limits across all retailers for a customer
P – Licenses are validated whenever a user logs into the system. If the license is suspended, revoked or denied, they will have view only access to their data
P – All transactions are recorded with date, time, quantity, price, etc. to meet the state's standards
P – Data is never deleted, it only changes state and can be rolled back if a mistake was made and all versions are kept for audit trails
P – Unique identifiers are used for each item in the system
P – The system can create a trip ticket (manifest) for compliance traceability

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
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BIDDER NAME: Dauntless, Inc.
DATE: 4/22/2019
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P – The system tracks the date/time of creation, who shipped, who drove the delivery vehicle, who received the manifest and automatically transfer ownership and sales data.
P – Allows the licensee to print the transport manifest so the driver can provide details to law enforcement
P - The manifest interface has the ability to find any given manifest
P – Access controls can be set for licensees and users so the data they have access to is limited along with permissions
P – Notifications and alerts are built in and will notify licensees of compliance issues through the web interface and through reports for the administrative staff
M – The web portal will not enforce the rules of compliance, just notifications. Licensees could potentially continue business even if they were not in compliance
The GIANT system provides a RESTful universal Application Programming Interface (API) allowing for secure, efficient transfers between the client and the data infrastructure
P – There is an unlimited number of users allowed within the system

Business and Technical Requirements
Central Inventory Management System
P – All requirements currently exist
P – The system includes security and scalability features for growth as the data load increases and changes

Web Application Interface
P – The requirements either exist or need configuration

Data Exchange/Interface
P – The requirements either exist or need configuration
P – Connecting to ALMS will be done using an API connection and Dauntless has a development team proficient in connecting to other systems using API
P – The universal API is designed to connect any business in the industry in the GIANT platform

Reports
P - The requirements either exist or need configuration
P – The system has the ability to create reports based on data
Q – Dauntless proposed using the subcontractor DemandLink to configure the reports – is this included as part of the contract? Does a separate contract need to be created?
P – Reports can be exported in Excel, CSV, PDF, TXT or Word

Inventory Tracking Data Points
P – All requirements currently exist
P – The system allows for traceability through the conversion process (ex. Raw material to oil). Everything can be tracked from origin to consumption
P – The system can track transfers between two different licenses

Testing
P – The requirements either exist or need configuration
P – The system tracks all information needed to report excise taxes to the OMP
P – Labs can have the ability to input or submit test results in GIANT and any upstream or downstream products associated with those tests will be updated in the system

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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Cultivation Inventory Tracking
P – The requirements either exist or need configuration
P – Cultivators can input inventory transactions through Dauntless interfaces using Windows, mobile apps or web interfaces
P – The ancestry of plants can be tracked
P – The location of all plants can be tracked
P – Fertilizers, pesticides and compound data can be tracked to ensure they are legal
P – The system can track the weight at each stage or any other significant data point

Manufacturing Facility Inventory
P – All requirements currently exist
P – Manufacturers can track material as it is converted from raw harvested material to end products and each state in between

Retail Store Inventory
P – All requirements currently exist
P – Dauntless retail and dispensary functionalities are based on standardized retail methodologies. Their core retail system has been in place for 25 years which includes 6 years within the marijuana industry
P – 40% of all marijuana retail transaction in Washington state are managed by Dauntless

Audit Reporting
P – The requirements either exist, need configuration or needs customization
P – customized reports can be configured based on the needs of the State
P – Provide audit reporting that includes ad-hoc and user defined reporting, the ability to view/interact and rotate data at any level and create and save new reports

System User Access
P – All requirements currently exist
P – System is designed to grant access and to enable/disable individual, facilities, organizations and businesses to different modules as desired
P – Every connection and login is authenticated and every transaction is checked to ensure the user is still authorized

Service Continuity
P – All requirements currently exist
P – The system is currently operating in multiple states
P – Dauntless is committed to maintaining a 99.5% operational system

Data Upload/Download
P – The requirements either exist or need configuration
P – Uploaded data is verified with user prior to commitment
P – Encryption is used to secure transmissions

Security
P – All requirements currently exist
P – Dauntless maintains comprehensive policies related to security and data breach response

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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EVALUATOR DEPARTMENT: DAFS

P – Dauntless employs a scanning agent that scans their existing infrastructure to ensure data security, availability, confidentiality and privacy
P – Two or more types of verification is used to confirm a user's identity
P – Provide the ability to mask PII

Implementation – work plan
The project will work in two week sprint cycles
A work plan and time chart has been developed

Standards and Performance Measures
A SOC 2 Type 2 will be provided with a plan of action for remediation of deficiencies
Provide results of security scans every 6 months

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Bio-Tech Medical Software, Inc. dba BioTrackTHC
DATE: 4/23/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

****

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Individual Evaluator Comments:

Overview
P – Performed services as outlined in this RFP for 7 years of private sector marijuana business and 5 years with government agencies
P – SOC 2 type 1 was completed in 2018 and a SOC 2 type 2 is scheduled
P – There are 3 actively utilized seed to sale off the shelf, SaaS, solutions available
P – Over 2,300 marijuana production and retail facilities across 34 states us the software
P – The system has been deployed to 10 government programs

Projects
P – The company has already set up seed to sale systems and proven the ability to adapt to changing needs
P – The system was proven to work well with identifying fraudulent activity

Subcontractors
P – BiotrackTHC does not use subcontractors for any part of their system and is able to keep all design, delivery and maintenance in-house

Litigation
P – None currently
Prior litigation has been closed and BioTrackTHC

Financial Viability
P - Provided a Dun & Bradstreet report

Licensure/Certification
P – Completed audits: SSAE 16, API functional audit, HIPAA & Security Risk Assessment, Cole Memo Audit, SOC 2 audits
Q – what were the results of those audits

Certificate of Liability Insurance
P - A copy of the liability insurance was provided

Services to be Provided
P – Out of the box product able to identify and track medical and adult use production, transfer, sale and inventory, purchase verification, lab testing, collecting, and data analytics
P – Fully hosted SaaS accessible via the internet to any capable device with a modern web browser and available 24 hours

STATE OF MAINE
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EVALUATOR DEPARTMENT: DAFS

P – Based on BioTrackTHC records the system availability is almost always 100%
P – Ability to integrate other third parties with the system
P – Provide printable anti-counterfeit tags for tagging plants which are less burdensome than RFID which require scanners
Labels are printed by the licensee as they need them
P – The labeling system allows for additional information to be printed on the tags that may be required by regulations
P – Labels have a holographic to deter counterfeit tags, and have a bar code for scanning (if used as a chosen method) or a readable ID
P – The BioTrackTHC team will work with the State to determine if any configuration or customization is required
P – The system is set up to handle increasing demands to support growing environments
P – The system utilizes a cloud server that meets the FedRAMP High Baseline requirements which only 4 other cloud service providers in the nation have been able to meet
P – BioTrackTHC provides redundant systems in the case of impairment to accessibility. The systems are designed to replace the failed system and are located in a different geographic location with recovery time less than one hour and recovery point objective less than 5 minutes
P – Provide 24/7 automated monitoring of the system to catch interruptions before the client is aware
P – Will provide a disaster recovery plan and exercises their disaster recovery and business continuity procedures annually
P – The system uses the latest secure socket layer (SSL) encryption technology
P – Data remains encrypted from end to end in the system
P – All stored passwords are encrypted and enforces a 10 character minimum length password requiring 1 upper, 1 lower, 1 number and special character. Passwords expire every 60 days.
P – The system times out after 5 minutes
P – Conducts infrastructure scans monthly, software scans quarterly or upon updates. Results and remediation documentation is made available to the state
P – Audit change logs capture all data that is inserted, updated or deleted
P - A checksum feature is utilized to create a signature for data contained in a row and will indicate if data has been tampered with
P – User access is role based. Data and functionality can be limited based on the assigned role for each user
P – A system administrator will determine user access requirements
P – Data centers follow strict security guidelines.
P – Data encryption requires a method to encrypt and encryption keys. Data is encrypted while at rest and back up data is encrypted
P – BioTrackTHC's API has undergone an application assessment and technology functional audit and has passed.
P – There is existing software manuals, reference guides and curriculum that contain screen shots and step by step detail.
P – BioTrackTHC has training methodologies prepared, train the trainer and user-friendly training materials
P – The system is capable of handling enhancements. There have been over 150 enhancements to the existing system currently
P – Helpdesk is available by phone from 8 to 5 am. The ticketing system is available 24/7

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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DATE: 4/23/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

Business and Technical Requirements

Central Inventory
P – All requirements currently exist
P – The system developed for Washington state has tracked over 6.4 million plants and over $2 billion in transactions
P – Unique identifiers using an 18-digit alphanumeric code is designed for both machine and human readable formats

Web Application Interface
P – All requirements currently exist

Data exchange
P – All requirements currently exist
P – BioTrackTHC's API is the first and only publicly available seed to sale electronic data exchange for tracking systems, meaning that nearly any point of sale system would be compatible
P – Web services use XML and JSON formats

Reports
P – All requirements currently exist
P – Reports can be created based on any database table and fields within the system (over 1,800 data points)
P – Reports are available in pdf, html, txt, word and csv formats
M – Excel was not one of the formats mentioned

Inventory tracking
P – All requirements currently exist
P – All required inventory tracking data elements are available with date and time stamp
P – The system has the ability to search inventory by use of a plant lookup
P – The system only allows a shipment to be received if there is a trip ticket made out by another approved state licensee
P – Allows for the physical tracking and product lifecycle tracking

Testing
P – All requirements currently exist
P – Products cannot reach dispensing unless it has received the State-approved, full spectrum and required laboratory testing.
P – The out of the box system is able to track, calculate, and collect tax revenue and can create a tax invoice

Cultivation Facility Inventory
P – All requirements currently exist
P – The system can code all each type of marijuana product and intermediate product type
P – Able to capture all plant components weights desired by the state (flower, stem, shake, kief, etc.)

Manufacturing Inventory
P – All requirements currently exist
P – The system codes each manufacturing product
P – The system uses a robust inventory classification system with over 30 classifications

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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DATE: 4/23/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

Retail Inventory
P – All requirements currently exist
P – In-house seed to sale tracking and patient registry

Audit Reporting
P – All requirements currently exist
P – Has the ability to extract data at any point in the product lifecycle for monitoring capabilities in real time
P – Contains a report creation tool to create, save, edit, and delete reports

System User Access
P – All requirements currently exist
P – BioTrackTHC will store data for whatever period of time the state requires
P – The company has not had any data loss

Service Continuity, Data upload/download, Security
P – All requirements currently exist

STATE OF MAINE
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DATE: 4/23/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault
DATE: 4/16/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

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Individual Evaluator Comments:

Section I – Organization Qualification and Experience:

1. *Overview of the Organization*

P - over 450 implementations on six contents
P – specialize in digital business process automation (paperless)
P – 32 years in business
P – over 200 employees to support the RFP requirements
P – largest number of users in public sector 20,000
P – largest document quantity 130,547,956
M- None of the projects descriptions were specifically for a Seed-to–Sale tracking system
Q – Has Visual vault or ProCom implemented a seed-to-sale system previously?

2. *Subcontractors*

P – use a subcontractor (ProCom) which includes two employees with over 30 years of experience, one of which has experience with state government and licensing and business regulation
P – ProCom has expertise in multiple systems interfaces
P – ProCom employs 200 consulting staff
P – Documented methodology for implementations (pages 10-11)

3. *Organizational Chart*

P – Organizational chart indicates extensive expertise between Visual Vault and ProCom (pages 12-14)

4. *Litigation*

P – No current litigation pending

5. *Financial Viability*

P – Provide a Dun & Bradstreet Comprehensive Insight Plus Report

6. *Licensure/Certification*

P – Receive a Type 2 SOC 2 and Type 1 HIPPA audit

7. *Certificate of Insurance*

P – Provided a certificate of liability insurance

8. *Conflicts of Interest*

P - No known conflict of interest

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault
DATE: 4/16/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

Section II – Proposed Services:

1. Services to be provided

P – Ability to assign a unique ID to specific elements and instantly locate it and all associated material
P – Platform is easily customized using business rules, iForms and workflow template builders to allow users to continually modify or add functionality
P – Designed to integrate and support third-party systems

A. Deliverables

P – **All aspects of the Deliverables were addressed**
P – Visual Vault is a SaaS platform accessed from any location over the internet using a desktop, laptop or mobile device with 24 hour availability
P – Provide a development, test and production environment
P – Users can use the Go-Live environment to train and gain proficiency
P – Have a specific project management plan and process to track the plan's progress
P – Testing is conducted by both VisualVault and the customer
P – Provide training to ensure testers can test the system during acceptance testing but also once it is in production
P – VisualVault can integrate with state systems assuming the State provides adequate technology resources to help understand ALMS. VisualVault and ProCom have many years of experience integrating with other systems
P – Place a high level of importance on training users by using best practices and experience from prior success
P – Provide Principal Period of Support daily between 8AM and 5PM - 24 hour support (additional charge)
P- VisualVault states they will meet all of the standards and performance measures and all of the general requirements of the RFP

B. System Requirements

P – **All aspects of the System Requirements were addressed**
P – Emphasize automation with enforcement efforts for efficiency
P – Community licensing allows: all users (marijuana establishments) to enter information directly within the platform. The ability to flag flawed data entered by establishment. Establishments have the ability to log in 24 hours a day.
P – Over 95% of OMP functionality will be created using configuration (the system will be built based on the requirements)
M – The configuration process could take a considerable amount of time since VisualVault does not already have a platform for Seed-to-Sale
P – Has the ability for real-time data validation
P – All changes and input to the platform are tracked for audit purposes and use a central repository/archive for record retention
Q – How does the secure transporter's system work? Is this an additional system or within the platform? How does the information get entered into the system for tracking purposes?
P – User credential are assigned to clients to determine information rights and ensure data security.
P – Data is encrypted

C. Business and Technical Requirements

P – **All Business and Technical Requirements are described as Existing rather than requiring configuration or customization**

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
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BIDDER NAME: GRM Information Management Services, Inc. / VisualVault
DATE: 4/16/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

P – **All Business and Technical Requirements have been addressed**
P – Generated reports can be exported to Excel, CSV, TXT, Word and PDF
P – Users are able to search for information by entering search criteria
P – Standard and ad hoc reports can be created using the system's wizard to walk users through the process
P – Offer extensive analytic capability
P – Data can be exported into any standard format, Excel for example
P – Able to handle all data retention and storage requirements

D. Standards and Performance Measures

P – **All Standards and Performance Measures have been addressed**
P – Data is stores on the east and West coast of the U.S.
P – Have a BCDR
P – Receive a SOC 2 audit
P – Security sans will be conducted every 6 months

E. Implementation – Work Plan

P – A work plan has been provided which tries to front end load most of the work to provide for any issues that arise

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Metrc LLC
DATE: 4/19/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

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Individual Evaluator Comments:

Overview
P – Provide web-hosted software as a SaaS Seed-to-Sale product in 12 states for both medical and adult use
P – The out of the box product has met over 90% of the requirements from other state governments
P - Has the ability to drill down from aggregated data analytics to individual plant data in real-time
P – The company has a BCDR plan
P – The product has already integrated with over 100 point of sale systems for medical marijuana
P – Metrc leadership has over 30 years of supply chain track and trace experience
P – Metrc has the ability to implement their program in under 120 if needed
P – Metrc has not lost a contract renewal or had an early termination for default

Projects
P – Deployed the first state marijuana track and trace software for Colorado
P – Created a listing of marijuana product identifiers that uniquely identify each brand of product by dose

Subcontractors
P – No subcontractors are required

Organizational Chart
P – Org chart was provided
M – No background on any of the individuals

Litigation
P – None

Financial Viability
P – Den and Bradstreet report provided

Licensure or certifications
None

Certificate of Insurance
P – Provided a certificate of liability insurance

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Metrc LLC
DATE: 4/19/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

Conflicts of Interest
It was disclosed that the COO of Metrc, prior to working for the company, was the co-owner of a company that provided consulting work for the State of Maine for the development of the cannabis regulations

System Requirements
Central Inventory
P – All requirements are an existing functionality
P – Data can be viewed at a state level or down to individual licensees
P – RFID tag is assigned to every plant or unit which is traceable

Web Application Interface
P - All requirements are an existing functionality
P – The interface functions include administration, configuration, analytics, inspection, rules-based notifications, recalls and enforcement

Data Exchange/Interface
P - All requirements are an existing functionality
P – Ability to securely exchange data with ALMS and OMP provided they can integrate using RESTful API
Q – is the web service supporting RESTful a third-party service or part of Metrc

Reports
P - All requirements are an existing functionality
P – Ability to create both predefined and ad hoc reports in PDF, Excel, work and CSV
P – Querying can be done on any data point in the system

Inventory Tracking
P - All requirements are an existing functionality
P – Data can be entered using API or .CSV upload
Q – Is the authorized cannabis business software part of the Metrc product?
P – products can be traced back to the original plant
P – Inventory is traceable between licensees and locations

Testing
P - All requirements are an existing functionality
M - #10.1 explanation does not address the requirement

Cultivation Facility Inventory
P - All requirements are an existing functionality
P – Plants can be tracked through growth by location and into harvest and into product
P – Additives are trackable
P – Waste or trims are trackable

Manufacturing Facility Inventory
P - All requirements are an existing functionality
P – Manufacturers will be able to enter their inventory transactions by .csv or API

STATE OF MAINE
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P – Each time the marijuana changes form, the unique identifier travels with the product created

Retail Store Inventory
P - All requirements are an existing functionality
P – Stores can report manually or through API.
Q – Does Metrc offer an interface for retail stores?

Audit/Investigation
P - All requirements are an existing functionality
P – The state will have a dashboard with predefined reports and can also create ad hoc reports using the querying tool
P – All data points in the system are viewable

System User Access
P - All requirements are an existing functionality
P – User role definitions are customizable to provide the appropriate level of access
P – Audit logs include date of change, user, type of change and original and changed values
P – Metrc will store all data within the U.S. and will provide the data upon requires

Service Reliability
P - All requirements are an existing functionality
P – Metrc will remain operational at least 99.95% of the time 24/7
P – A test environment is provided for the term of the contract
P – Metrc provides a one-day recovery time objective
P – Full database backups nightly
P – Data is automatically loaded into the two disaster recovery databases at different sites

Data Uploads
P - All requirements are an existing functionality
P – Uploads can be done using API or CSV
P – Manually entered data is not required in any function of the system however the user may manually enter data if desired

Data Download
P - All requirements are an existing functionality
P – Encryption is used for data in transit and at rest
P – Audit notifications can be created to any number of users and can be set by the state
P – Metrc will provide a business continuity and disaster recovery document

Security
P - All requirements are an existing functionality

STATE OF MAINE
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STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC
DATE: 4/23/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

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Individual Evaluator Comments:

Overview
P – The platform process over 750,000 transactions totaling more than $50 million monthly for 1,800 government and business entities
P – MJ Freeway software is specifically designed for marijuana compliance tacking for government agencies
P – MJ seed to sale product is used by both Washington and Pennsylvania

Projects
P – Seed to sale tracking service used for Pennsylvania is web based and supports: patient/caregivers, practitioners, medical providers, growers/processers, dispensaries, labs, clinical registrants, etc.
P- Converted 3 years of data from a prior tacking system for the state of Washington

Subcontractors
No subcontractors utilized

Litigation
One pending and three potential threats

Insurance claims
Insurance claims have been submitted regarding data security, loss of revenue and data recovery

Financial Viability
A Dun & Bradstreet report was provided

Licensure
SOC compliant
Q – is the SOC report available?

Certificate of Insurance
P – Provided proof of insurance

Conflicts of Interest
None

Services to be Provided
P – MJ will provide a commercial off the shelf hosted SaaS that identifies and tracks medical and adult use marijuana in all its forms

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: MJ Freeway LLC
DATE: 4/23/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

P – The system is available via any major browser 24/7 to licensees, law enforcement and authorized state agencies
P – 4 environments will be provided
P – MJ will provide integration with ALMS and OMP data warehouse
P – Will provide all training and documentation
P – Provide 24-hour technical support

Business and Technical Requirements
Central Inventory Management
P – The requirements currently exist
P – The system was designed for tracking marijuana
P – The platform can be customized and configured based on other client's individual needs
P – The system tracks each plant through the entire cultivation and distribution cycle: propagation, cultivation, harvest, post-harvest, testing, manufacturing, distribution, processing, inventory and point of sale
P – The State will have the ability to see all marijuana in all locations in all forms
P – The database table creates a globally unique non-repeating ID number for each plant
P – Tags with the unique ID will be attached to every item
P – Supports both RFID and barcode tags
P – Any duplication of ID's is flagged in the system and triggers an alert

Web Application Interface
P – The requirements currently exist
Q – How is the user interface secured?
P – User permissions can be restricted based on user roles which limits the information the user can access

Data Exchange
P – The requirements currently exist
P – 3 methods of data exchange – RESTful API, CSV upload or Data entry
P – The system supports both XML and JSON open standard in its API's
P – The system validates submitted data and provides response feedback for all 3 methods of data exchange
P – Validation ensures completion of required data elements, valid format, validate completeness
P – Data submission failures receive a response and the opportunity to correct the error

Reports
P – The requirements currently exist
P – Provides the ability to download and search multiple datasets
P – Reporting is available on all data points and can be exported to Excel, pdf, csv, html and text
P- Predefined reports can be modified and saved and ad hoc reports can also be created

Inventory tracking
P – The requirements currently exist
P – The system allows searches to see all or part of an operation such as sales figures, inventory, plant counts
P – OMP will be able to view individual user data or summary data for all users

STATE OF MAINE
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P – Inventory is searchable by strain, unique ID, product name, product type, location, growth phase, quarantine, or other status
P – Inventory received from another facility requires data entry of the product received and the system compares the data from each facility for accuracy and any discrepancies are flagged
P – The system tracks the chain of custody between licensee locations
P – Alerts can be generated when to trigger notifications when extraction percentages deviate from the standard
P – The systems data elements and logic controls allow for complete visibility of marijuana through its entire life cycle and business workflow operations
P – For transfers within one licensee's premise the system tracks it by location or by license type
P – The system is able to keep complete data on the destruction and disposal of marijuana

Testing
P – The requirements currently exist
P – All testing data is tracked in the system
P – A trip ticket is used for any transfer outside of the licensee's facility
P – The system collects complete sales data including excise and sales tax data

Cultivation Inventory
P – The requirements currently exist
P – The system tracks plant origin, plant additives, location at all times, growth state, auditable plant notes

Manufacturing Inventory
P – The requirements currently exist
P – All production events are tracked such as packaging, extractions, production of infused products

Retail Inventory
P – The requirements currently exist
P – Detail is captured at the point of sale for what is being sold and to whom
P – Unique ID's are created for each transaction, sales, refunds, voids and adjustments

Audit/Investigation
P – The requirements currently exist
P – The system allows for all reporting to be tailored to support OMP compliance
P – Every action in the supply chain is recorded with the username, time, and date stamp

System User Access
P – The requirements currently exist
P – Access is role based with multiple permission levels for various roles
P – Users are restricted to see only the data for their user organization
P – Users are also restricted to location based access controls where the user is only able to access the location(s) they are officially licensed to
P – OMP has the ability to grant or restrict access
P – The audit trail provides detail for the before and after states of each system object and provides a method for reconstruction
P – MJ will provide all hardware, software and ongoing maintenance of the system
P – The data system is hosted via a secure Tier-3+ data center, certified SSAE16

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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DATE: 4/23/2019
EVALUATOR NAME: John Baker
EVALUATOR DEPARTMENT: DAFS

P – A business continuity and disaster recovery data center is connected via a private line with VPN encryption and is 250 miles from the primary facility
P – All data and reports will be stored by MJ

Service reliability
P – The requirements currently exist
P – MJ recommends using Amazon Web Services GovCloud which offers a bandwidth ensuring 99.999% uptime access

Data upload/download
P – The requirements currently exist
P – Correcting entries can be made for data already posted
P – All data transmitted over public internet are encrypted via SSL/HTTPS
P – Alerts can be created on any data element and work in real time
P – Data is also stored on a replicated server
P – Disaster recovery plan includes native replication and off-site backup and system restoration within 24 hours
P – MJ employees do not need to travel to a physical location to perform their job functions

Security
P – The requirements currently exist
P – The software has 3 options for PII: not allowing it, encrypting it and masking it
P – Industry security best practices are applied to infrastructure and software

Standards and Performance Measures
Will provide the SOC 2 Type 2 audit and the plan of action for remediation of deficiencies
Will submit to security scans and provide results

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

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EVALUATOR NAME: John Baker
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STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: GRM Information Management Services, Inc. / VisualVault
DATE: (Insert date proposal was reviewed by individual evaluator) 4/23/19
EVALUATOR NAME: (Insert your name here) Scott Lever
EVALUATOR DEPARTMENT: (Insert your Department name here) OMP-DAFS

****

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Individual Evaluator Comments:

SEC 1. Tampe, AZ based co. VT Marijuana Registry System. ProCom Consulting → implementation partner
M - No marijuana industry experience in 3 projects cited.
Q - Who is on the ProCom team
P - Visual Vault team is clearly defined in Org Chart
P - No known conflicts + moderate risk from D&B
Q - All Appx C items exist?
Sec 2. SaaS platform on Amazon's Cloud, medical manufacturing start
P - Turbotax model of iform completion + Drag + drop design
Q - REST API?
P - Dashboard examples look clean + easy to use.
Q - Deliverables table seems to only focus on medical MJ.
P - Can integrate w/ Datawarehouse + ALMS.
M - Add'l charge for 24 hr Premium Support Services
Q - 95% of all OMP functionality will be created using configuration?
* 6 MONTH TIMELINE UNTIL GO LIVE
Q - SECURITY?

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: BioMauris, LLC
DATE: (Insert date proposal was reviewed by individual evaluator) 4/23/19
EVALUATOR NAME: (Insert your name here) Scott Lever
EVALUATOR DEPARTMENT: (Insert your Department name here) OMP-DAFS

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Individual Evaluator Comments:

OVERVIEW
P - Simultaneous management of seed to sale + patient re (also have implemented) point of sale)
I - Solution runs on Salesforce
P - 2 way data exchange + scalable
P - Security + Reportability in real time w/ subscription.
P - Notification system good for enforcement + industry
PROJECTS - M - NO ADULT USE MJ PROJECTS LISTED
M - In Iowa project - no mention of tracking tech?
FIN VIAB - M - It appears they are high risk based on D&B
MISC - P No Litigation + no conflicts
SERVICES TO BE PROVIDED - Q - Salesforce not BioMauris will provide 24/7 support? Required. Is unlimited technical support but when?
Q - Ortri) Middleware? Custom built for Iowa?
M - No current ofc in ME so would have to hire trainers
Q - Self reporting of lots/batches?
P - Integration w/ Track & Trace facilities
P - Payment processing capabilities + ability to integrate transaction data.
P - Can be only used to limit/prevent sales transactions.
I - Iowa has patient verification capability - Great for mmmp
P - Transfers + transportation - Mobile tracker app w/ pdf trip tickets
P - SALESFORCE KNOWN FOR ROBUST REPORTING CAPABILITIES - DATA LOADER
P - Can send alert if discrepancy in inventory to OMP
Q - Auto export of backups prior to 90 day expiration? Necessary?
GO LIVE 10/31/19 ASSUMING 5/16/19 START CUTTING IT VERY CLOSE
Q - ARCHITECTURAL DIAGRAM
Q - PROJECT TEAM? RESUME/BACKGROUND? WHO/WHEN ON SITE?

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Metrc LLC
DATE: (Insert date proposal was reviewed by individual evaluator) 4/23/19
EVALUATOR NAME: (Insert your name here) Scott Lewor
EVALUATOR DEPARTMENT: (Insert your Department name here) OMP DAFS

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****

Individual Evaluator Comments:

P - 12 states for medical + adult use.
I - Rapid Application Development w/ Agile + DevOps
P - track program performance metrics, security features, + data exchange capabilities
P - focus on empowering regulators, tax agencies + law enforcement.
I - RFID tag technology.
P - Can implement in under 120 days.
Q - Restful Json API and/or .CSV uploads
P - Integrated w/ over 100 POS systems.
P - Has implemented in < 90 days!
P - All KRs on time + budget, reached, and no termination
P - All 3 projects directly relevant to OMP's needs
P - NO SUBCONTRACTORS
P - Defined staffing, roles, timelines of involvement
P - LOW RISK AND DLB
Q - Is disclosed conflict a problem?
P - NO LITIGATION
Q - NO SERVICES TO BE PERFORMED OUTSIDE US?
Q - NO PROJECT SPECIFIC TIMELINE?

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Dauntless, Inc.
DATE: (Insert date proposal was reviewed by individual evaluator) 4/23/19
EVALUATOR NAME: (Insert your name here) Scott Lever
EVALUATOR DEPARTMENT: (Insert your Department name here) OMP-DAFS

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Individual Evaluator Comments:

Enterprise level cloud-based traceability solutions for the MJ industry using an agile methodology. "componentized"
P- Able to connect to any of 9 entity types in MJ industry.
Q- Industry focus? Regulation, enforcement? Taxes?
I- GIANT - Global Interoperable Application Network Technology
TraceWeed and Korona (ComBase U.S.A) SORO
Only provided two actual projects + 1 related to MJ but retail not gov't
[illegible] ~ list of retailers
Q- 2 SUBCONTRACTORS - DemandLink + COMBASE USA
M- Provided org chart but no team bios
Q- D&B all over the map.
PROPOSAL GIANT is hosted on Microsoft Azure (SQL and webservices)
I- 5 logically separated environments. Q- Instantiate?
Q- Security? Tokens?
I- Video guides for licensees
P- 24/7 support coverage
Q- How long do system enhancements + hot fixes take?
P- Backups + data redundancy look good.
P- Establish ofc in ME w/ project manager
Q- 2.5 Inventory tracking → RFID/NFC "optional" ? Add'l cost?
P- Very user friendly for mobile
Q- Data + reports downloaded to Excel + PDF by default. Good?

12/10/19 - FULLY DEPLOYED. Q - IS THIS GO LIVE?
CAN VENDOR BEGIN K SOONER THAN 5/16/19?

ARCHITECTURE DIAGRAM MAKES SENSE

STATE OF MAINE
INDIVIDUAL EVALUATION NOTES

RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System
BIDDER NAME: Bio-Tech Medical Software, Inc. dba BioTrackTHC
DATE: (Insert date proposal was reviewed by individual evaluator) 4/23/19
EVALUATOR NAME: (Insert your name here) Scott [illegible]
EVALUATOR DEPARTMENT: (Insert your Department name here) OMP-DAFS

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Individual Evaluator Comments:

SEC I P - 7 YRS EXPERIENCE W MJ BUSINESSES + 5 YRS FOR GOV'T AGENCIES.
P - Origin in prescription drugs + helping gov't and LE avoid diversion
Q - Can we get copy of SOC 2 audit findings?
P - WA state - Delivered on time + on budget in 100 days.
Q - Company possesses 3 COTS SaaS solutions?
Q - Traditional bar codes, not RFID tags?
P - Illinois project delivered in less than 75 days + able to interface w/ 5 state agencies
I - ID card App process + data migration in [illegible].
P - NO SUBS, clear org chart w/ staff assigned to project
M - Some litigation in last 5 yrs.
Q - D&B okay?
Q - Licensure to Ability to do business in ME - complete?
SEC II P - out of the box ready!
Q - only cost to users is anti-counterfeit plant + package tags.
Q - label rolls purchased thru BioTrack's proposed solution?
Q - FEDRAMP HIGH BASELINE?
P - 10 gov't MJ tracking systems successfully implemented.
Q - Amazon Elastic Compute Cloud (Amazon EC2)?
P - High level of security, integration w/ [illegible]
P - 24/7 support
GO LIVE 10/1/19 !!!

STATE OF MAINE
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BIDDER NAME: MJ Freeway LLC
DATE: (Insert date proposal was reviewed by individual evaluator) 4/23/19
EVALUATOR NAME: (Insert your name here) Scott Lever
EVALUATOR DEPARTMENT: (Insert your Department name here) OMP-DAFS

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Individual Evaluator Comments:

Sec I WA+PA selected seed to sale MJ Freeway
Multiple tagging capabilities which may effect cost.
Q- ONLY LISTED 2 PROJECTS?
NO SUBS, ORG CHART UNREADABLE
M- Project roles defined by not clear spec. ppl.
M- Lots of Litigation.
Q- DeB add?
D- NO CONFLICTS OF INT LISTED
Q- Cert to work in ME?

Sec II P- Flow charts on traceability very helpful
Q- All functionality in Approx to EXISTING?
M- SECURITY SEEMS TO BE AN ISSUE

GO LIVE 11/8/19

STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

AGREEMENT AND DISCLOSURE STATEMENT
RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System

I, Lusine Tshagharyan, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Administrative and Financial Services. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current or former employment with the bidder; current or former personal contractual relationship with the bidder (example: paid consultant); and/or current or former relationship to a bidder's official which could reasonably be construed to constitute a conflict of interest (personal relationships may be perceived by the public as a potential conflict of interest).

I have not advised, consulted with or assisted any bidder in the preparation of any proposal submitted in response to this RFP nor have I submitted a letter of support or similar endorsement.

I understand that the evaluation process is to be conducted in an impartial manner. In this regard, I hereby certify that, to the best of my knowledge, there are no circumstances that would reasonably support a good faith charge of bias. I further understand that in the event a good faith charge of bias is made, it will rest with me to decide whether I should be disqualified from participation in the evaluation process.

I agree to hold confidential all information related to the contents of Requests for Proposals presented during the review process until such time as the Department formally releases the funding decision notices for public distribution.

Signature

4/11/2019
Date

STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

AGREEMENT AND DISCLOSURE STATEMENT
RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System

I, Scott Lever, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Administrative and Financial Services. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

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Scott T. Lever
Signature

4/11/19
Date

STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

AGREEMENT AND DISCLOSURE STATEMENT
RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System

I, William Lent, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Administrative and Financial Services. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

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_____ 7/11/19

Signature **Date**

STATE OF MAINE
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RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System

I, Brigid Palmer, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Administrative and Financial Services. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current or former employment with the bidder; current or former personal contractual relationship with the bidder (example: paid consultant); and/or current or former relationship to a bidder's official which could reasonably be construed to constitute a conflict of interest (personal relationships may be perceived by the public as a potential conflict of interest).

I have not advised, consulted with or assisted any bidder in the preparation of any proposal submitted in response to this RFP nor have I submitted a letter of support or similar endorsement.

I understand that the evaluation process is to be conducted in an impartial manner. In this regard, I hereby certify that, to the best of my knowledge, there are no circumstances that would reasonably support a good faith charge of bias. I further understand that in the event a good faith charge of bias is made, it will rest with me to decide whether I should be disqualified from participation in the evaluation process.

I agree to hold confidential all information related to the contents of Requests for Proposals presented during the review process until such time as the Department formally releases the funding decision notices for public distribution.

Brigid J Palmer
Signature

4-16-19
Date

Rev. Sept. 2013

STATE OF MAINE
DEPARTMENT OF ADMINISTRATIVE AND FINANCIAL SERVICES

Janet T. Mills
Governor

Kirsten LC Figueroa
Commissioner

AGREEMENT AND DISCLOSURE STATEMENT
RFP #: 201903049
RFP TITLE: Marijuana Seed-to-Sale Tracking System

I, John Baker, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Administrative and Financial Services. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current or former employment with the bidder; current or former personal contractual relationship with the bidder (example: paid consultant); and/or current or former relationship to a bidder's official which could reasonably be construed to constitute a conflict of interest (personal relationships may be perceived by the public as a potential conflict of interest).

I have not advised, consulted with or assisted any bidder in the preparation of any proposal submitted in response to this RFP nor have I submitted a letter of support or similar endorsement.

I understand that the evaluation process is to be conducted in an impartial manner. In this regard, I hereby certify that, to the best of my knowledge, there are no circumstances that would reasonably support a good faith charge of bias. I further understand that in the event a good faith charge of bias is made, it will rest with me to decide whether I should be disqualified from participation in the evaluation process.

I agree to hold confidential all information related to the contents of Requests for Proposals presented during the review process until such time as the Department formally releases the funding decision notices for public distribution.

John B. Baker
Signature

4-11-19
Date