



**STATE OF MAINE
DEPARTMENT OF PROFESSIONAL AND
FINANCIAL REGULATION**

**Janet T. Mills
Governor**

**Anne L. Head
Commissioner**

AWARD NOTIFICATION LETTER FOR PQVL AWARDED BIDDERS

March 29, 2022

Lewis & Ellis, Inc.
David Palmer, Vice President & Principal
6600 Chase Oaks Blvd, Suite 150
Plano, TX 75023

**SUBJECT: Notice of Conditional Pre-Qualified Vendor List Award under RFP # 202112196,
Pre-Qualified Vendor List for Market Conduct Examination Services**

Dear Mr. Palmer:

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Professional and Financial Regulation Bureau of Insurance for Pre-Qualified Vendor List for Market Conduct Examination Services. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional award to the following bidder:

- Lewis & Ellis, Inc.

The bidder listed above has met the requirements for placement on the Pre-Qualified Vendor List. Vendors added to this Pre-Qualified Vendor List (PQVL) are not guaranteed a contract with the State of Maine but are eligible to submit bids on projects issued through the PQVL Mini-Bid Process, as defined in the RFP. Any Notice of Conditional Contract Award resulting from a Mini-Bid award is subject to execution of a written contract. As a result, this Notice does NOT constitute the formation of a contract between the Department and the apparent successful vendor(s). The vendor shall not acquire any legal or equitable rights relative to 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 and dissolve the Pre-Qualified Vendor List at any time.

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. 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,

A handwritten signature in blue ink that reads "Connie Mayette". The signature is written in a cursive, flowing style.

Connie Mayette MCM, AU, AIC, AINS
Market Conduct Division Manager
Maine Bureau of Insurance

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
TEAM CONSENSUS EVALUATION NOTES**

RFP #: 202112196
RFP TITLE: Pre-Qualified Vendor List for Market Conduct Examination Services
BIDDER: Lewis & Ellis Inc.
DATE: March 25, 2022

SUMMARY PAGE

Department Name: Professional and Financial Regulation
Name of RFP Coordinator: Connie Mayette
Names of Evaluators: Timothy Schott, Kimberly Trombley, Connie Mayette

<u>Pass/Fail Criteria</u>	<u>Pass</u>	<u>Fail</u>
Section I. Preliminary Information (Eligibility):		
<ul style="list-style-type: none"> Demonstration of 5 or more years market conduct examination experience, which includes managing market conduct exam 	X	
<u>Scoring Sections</u>	<u>Points Available</u>	<u>Points Awarded</u>
THERE WAS ONLY ONE BIDDER SUBMISSION TO THIS RFP – NO SCORING WAS REQUIRED		
Section II. Organization Qualifications and Experience		N/A
Section III. Proposed Services		N/A
Section IV. Cost Proposal		N/A
<u>Total Points</u>	<u>100</u>	<u>N/A</u>

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**OVERVIEW OF SECTION I
Preliminary Information**

Section I. Preliminary Information

Evaluation Team Comments:

- Bidder demonstrated in excess of five years' experience in managing market conduct exams

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**EVALUATION OF SECTION II
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	50	N/A

Evaluation Team Comments:

- I. Qualifications and Skills
 - Well qualified
 - Seem to choose appropriately credentialed individuals based on situation

- II. Market Conduct Examination report
 - Good variety of exam reports
 - Different types of entities were examined, shows versatility

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**EVALUATION OF SECTION III
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	25	N/A

Evaluation Team Comments:

- III. Methods and Resources
 - There was no sample examination in RFP for bidder to demonstrate approach, but the exam reports indicate appropriate methods and use of resources
- IV. Subcontractors
 - Appropriate use of subcontractors

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**EVALUATION OF SECTION IV
Cost Proposal**

Lowest Submitted Cost Proposal	÷	Cost Proposal Being Scored	x	Score Weight	=	Score
	÷		x	25 points	=	N/A

Evaluation Team Comments:

Note: As this bid is for entry on a Pre-Qualified Vendor List, Bidders were required to submit a current rate sheet providing a listing of all the typical fixed and hourly rates for all services and positions expected to be involved in providing future Market Conduct Examination Services.

- Rates seems reasonable, in line with market



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AGREEMENT AND DISCLOSURE STATEMENT
RFP #: 202112196

RFP TITLE: Pre-Qualified Vendor List for Market Conduct Examination Services

I, Kimberly Trombley, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Professional and Financial Regulation. 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 and agree that the evaluation process is to be conducted in an impartial manner without bias or prejudice. 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 award decision notices for public distribution.

Signature

3/22/2022

Date



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AGREEMENT AND DISCLOSURE STATEMENT
RFP #: 202112196

RFP TITLE: Pre-Qualified Vendor List for Market Conduct Examination Services

I, Timothy Schott, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Professional and Financial Regulation. 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).

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Timothy N. Schott

Signature

3/22/2022

Date



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AGREEMENT AND DISCLOSURE STATEMENT
RFP #: 202112196

RFP TITLE: Pre-Qualified Vendor List for Market Conduct Examination Services

I, Connie Mayette accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Professional and Financial Regulation. 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).

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Connie Mayette
Signature

03/25/2022
Date