

**State of Maine**  
**Master Score Sheet**

RFP# 202501014				
Cannabis Inventory Tracking System				
<b>Bidder Name:</b>		<b>Applications Software Technology LLC</b>	<i>BioTrackTHC</i>	<b>Metrc LLC</b>
<b>Proposed Cost:</b>		<b>\$2,596,995.66</b>	<b>\$250,000</b>	<b>\$75,000</b>
<b>Scoring Sections</b>	<b>Points Available</b>			
Section I: Preliminary Information	<b>Pass/Fail</b>	<b>P</b>		<b>P</b>
Section II: Organization Qualifications and Experience	<b>10</b>	<b>7</b>		<b>9</b>
Section III: Proposed Services	<b>50</b>	<b>28</b>		<b>45</b>
Section IV: Cost Proposal	<b>40</b>	<b>7.87</b>		<b>34.75</b>
- Total Cost	30	.87		30
- Additional System Requirements & Desirable Features Costs	10	7		4.75
<b>TOTAL</b>	<b><u>100</u></b>	<b><u>42.87</u></b>	<i><u>Withdrawn</u></i>	<b><u>88.75</u></b>

**Award Justification Statement**  
**RFP# 202501014 - Cannabis Inventory Tracking System**

**I. Summary**

The Department of Administrative and Financial Services (DAFS) is seeking to provide a web-based Software as a Service (SaaS) application to support the identification, tracking, and tracing of regulated cannabis in all its forms. It will be utilized for the express purpose of collecting, reviewing, and analyzing data needed to support the operations of the Office of Cannabis Policy (OCP).

On July 22, 2025, BioTrackTHC voluntarily rescinded its proposal from consideration. At this time the evaluation and consensus scoring had been completed. The removal of the BioTrackTHC proposal had no impact on the award decision outlined in this selection package. In the interest of transparency and public disclosure, all materials related to the BioTrackTHC proposal are being included in this package.

**II. Evaluation Process**

<p>The OCP Evaluation Team:</p> <ul style="list-style-type: none"><li>• Vern Malloch, Deputy Director of Operations</li><li>• Elisa Ellis, Director of Licensing</li><li>• Eric Miller, Director of Data Analytics</li></ul>	<p>The OIT Technical Assistance Team:</p> <ul style="list-style-type: none"><li>• Karen Knox, Systems Section Manager</li><li>• Matthew Keene, IT Security Contractor</li><li>• Victor Chakravarty, Solution Architect</li><li>• Matthew Backus (note taker), IT Consultant</li></ul>
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The Technical Assistance (TA) team included three subject matter experts from OIT, with a fourth member supporting as a note taker. Before the Evaluation Team meetings, TA members individually reviewed each proposal, then met to develop a consensus evaluation. Their assessments helped the OCP Evaluation Team determine each proposal's compliance with the required technical criteria; Karen Knox served as the OIT technical advisor to the Evaluation Team. Each member of the OCP Evaluation team leads a department (or group of departments) that directly oversees or interacts with the track-and-trace system; all have subject matter expertise in cannabis.

The evaluation followed Maine Procurement protocol. Proposals were first reviewed individually, then discussed in detail by the evaluation team. Scoring was based on consensus for the following sections: Qualifications/Experience (10 points), Proposed Services (50 points), and Part 2 of the Cost Proposal (10 points). Scoring Part 1 of the Cost Proposal (30 points) was determined by mathematical formula. Consensus points were awarded based on how well each proposal met the RFP's objectives and required functionality. Proposals that failed to meet minimum requirements and/or lacked clarity received reduced scores.

The Team had direct experience with one bidder and was intentional in first evaluating their proposal on its own merits. Prior contract history was primarily considered when it directly conflicted with claims made in the narrative. The evaluation team clearly noted

any of these discrepancies in the Team Consensus Notes for this bidder and weighed them accordingly when arriving at a consensus score.

### **III. Qualifications & Experience**

- Has been providing track-and-trace services since 2011, and currently works with 27 states, including Maine.
- All projects in the last five years have been completed on time and on budget.
- Detailed proposed project team with visibility into individuals who will provide day-to-day support as well as executives with oversight responsibility.
- Demonstrated knowledge and understanding of the nuances of cannabis inventory tracking which was further substantiated via project examples.

### **IV. Proposed Services**

- Clearly demonstrated batch tagging (FSBT) functionality, a mandatory requirement under statute.
- All *mandatory* functionality exists in off-the-shelf offering with one exception that requires configuration.
- All *desired* functionality is provided in the off-the-shelf offering with one exception that requires customization.
- Offered industry a sandbox environment at no cost.
- System enhancements will be implemented within 120 days, and access to Insights and other analytics offerings, available sooner.
- No data migration or training plan required for implementation.
- Provisionally met the technical requirements of the RFP.

### **V. Cost Proposal**

Cost was evaluated in two parts: Part 1 (30 points) was scored using the formula outlined in the RFP. Part 2 (10 points) was scored by consensus, based on value-added features; features with no cost to the State or industry received full points, while those with associated costs received partial or no points. For Part 1, bids ranged from \$75,000 to \$2,596,995 and the lowest bid received the full 30 points available. Part 2 was scored by consensus, and of the 10 points available, scores ranged from 4.75 to 7. When combined, and relative to the 40 points available, the bids received total scores in this section that ranged from 7.87 to 34.75. The awarded bidder received the most points in Part 1 and the least points in Part 2.

### **VI. Conclusion**

Metrc received a final score of 88.75 out of 100. Their proposal demonstrated the strongest overall value based on a combination of cost, qualifications, proven experience, product capabilities, and support services, including: customer service, training resources, and analytics tools. Metrc's solution requires minimal customization,

allowing for the fastest and most efficient implementation of all RFP-required features. The Evaluation Team concluded that Metrc's proposal offers the best value to the state with the least disruption and most efficient path to implementation.



**STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES**

**Janet T. Mills  
Governor**

**Kirsten Figueroa  
Commissioner**

August 05, 2025

Mr. Justin Winter  
Applications Software Technology LLC  
4343 Commerce Court #701  
Lisle, IL 60532

**SUBJECT:** Notice of Conditional Contract Award(s) under RFP # 202501014,  
Cannabis Inventory Tracking System

Dear Mr. Winter,

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 Cannabis Inventory 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:

- Metrc LLC

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,

A handwritten signature in black ink, appearing to be 'LR' with a stylized flourish.

Lisa Roberts

Deputy Director of Strategic Initiatives, Maine Office of Cannabis Policy

[Lisa.Roberts@maine.gov](mailto:Lisa.Roberts@maine.gov)

Tel: (207) 707-2640

## **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, Office of State Procurement Services [formerly the Division of Purchases], Chapter 120, § (2) (2).



**STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES**

**Janet T. Mills  
Governor**

**Kirsten Figueroa  
Commissioner**

August 05, 2025

Ariana Brookes  
Metrc LLC  
311 West Pipkin Rd. Suite 140  
Lakeland, FL 33811-1425

**SUBJECT:** Notice of Conditional Contract Award(s) under RFP # 202501014,  
Cannabis Inventory Tracking System

Dear Ms. Brookes,

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 Cannabis Inventory 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,

A handwritten signature in black ink, appearing to be 'LR' or 'Lisa Roberts' in a stylized cursive script.

Lisa Roberts  
Deputy Director of Strategic Initiatives, Maine Office of Cannabis Policy  
[Lisa.Roberts@maine.gov](mailto:Lisa.Roberts@maine.gov)  
Tel: (207) 707-2640

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**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** Application Software Technology LLC

**DATE:** 5.13.25

**SUMMARY PAGE**

**Department Name:** Department of Administrative and Financial Services

**Name of RFP Coordinator:** Lisa Roberts

**Names of Evaluators:** Vernon Malloch, Eric Miller, and Elisa Ellis

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<u>Pass/Fail Criteria</u>	<u>Pass</u>	<u>Fail</u>
Section I. Preliminary Information (Eligibility)		
<ul style="list-style-type: none"><li>Bidder must have a minimum of three (3) years' experience in the development, production deployment, support, and maintenance of an inventory tracking solution.</li></ul>	<b>Pass</b>	
<u>Scoring Sections</u>	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>10</b>	<b>7</b>
Section III. Proposed Services	<b>50</b>	<b>28</b>
Section IV. Cost Proposal	<b>40</b>	<b>7.87</b>
- Total Cost	30	.87
- Additional System Requirements & Desirable Features Costs	10	7
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>42.87</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

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**DATE:** 5.13.25

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

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**Evaluation Team Comments:**

- Pass
- AST developed and delivered a seed-to-sale system for Utah's medical program in 2023 and has inventory tracking experience in other industries
- No additional Evaluation Panel comments

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

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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	<b>10</b>	<b>7</b>

**Evaluation Team Comments:**

1. Overview of Organization <ul style="list-style-type: none"><li>• Wholly owned subsidiary of IBM.</li><li>• Long and storied relationship with Salesforce, the platform upon which they will build the solution.</li><li>• Very little cannabis experience – only Utah medical – the custom nature of that system raises concerns about whether it could be adapted for Maine or would need to be redeveloped entirely.</li><li>• 1 of 3 project references (MA Office of Business Development) is so vague we cannot determine what the project is or how it is relevant to this RFP.</li><li>• Additional inventory management experience detailed in the third project reference (Wyoming Office of State Lands &amp; Investments).</li></ul>
2. Subcontractors <ul style="list-style-type: none"><li>• AST does not intend to use subs although they reserve the right to use them and OCP would retain the right to review credentials of any subs prior to hiring</li><li>• Appreciated the transparency of this section and their approach.</li><li>• Appreciated their intention with subs is to solve the problem.</li></ul>
3. Organizational Chart <ul style="list-style-type: none"><li>• Lacking detail.</li><li>• Unclear if they have allocated sufficient technical resources to the project; the number of developers allocated is not disclosed.</li><li>• Q: Is the proposed team fully dedicated to Maine or are they also servicing other clients/contracts?</li></ul>
4. Litigation <ul style="list-style-type: none"><li>• None</li></ul>
5. Financial Viability <ul style="list-style-type: none"><li>• Only provided a link to their parent company's' financials (IBM) with nothing specific to AST.</li><li>• Unable to assess AST's financial viability independent of IBM, however, IBM is a publicly traded company with strong financials.</li></ul>
6. Licensure/Certifications

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<ul style="list-style-type: none"><li>• The team holds hundreds of Salesforce certifications, including over 40 expert and professional-level certifications</li><li>• Previous “Crest” status not sufficiently detailed – what triggered the loss of status?</li></ul>
7. Certificate of Insurance <ul style="list-style-type: none"><li>• Policies vary widely, what does it actually cover? (To get more information if selected)</li></ul>
8. Prior Contract Obligations <ul style="list-style-type: none"><li>• The bidder stated they have never defaulted on a client contract but did not explicitly confirm that all prior contractual obligations have been fully met. Bidder did note that some projects had been placed on hold for reasons they claim were generally unrelated to performance.</li></ul>

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**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>50</b>	<b>28</b>

**Evaluation Team Comments:**

**Services to Be Provided** – This proposal highlights a theoretically capable and highly customizable platform. However, the proposal also fails to deliver the level of detail and commitment necessary to assure the Department that all functionality can actually be provided and the new system can be implemented as proposed in the workplan. The approach presented raises significant concerns regarding the vendor's understanding of core tracking requirements, the degree of customization needed, their ability to provide long-term operational support, and their willingness to be a proactive and accountable partner. One of the key deficiencies of the proposal is that it focused almost entirely on the capabilities of Salesforce, while providing very limited detail on what AST, the actual contracting party, will do, how they will do it, and what role they will play in delivering, supporting, and maintaining the solution.

**A. General Requirements** - The proposal assumed a level of familiarity with Salesforce that does not exist within the Department or the evaluation team.

- All requirements outlined in this section were sufficiently satisfied

**B. Standard Contract Management**

- It was unclear whether the vendor envisions an ongoing role post-implementation or merely aims to configure the system and exit.
- Q: Will there be ongoing weekly meetings after the initial build-out is completed?
- Q: How will feedback from industry be communicated back to the vendor?
- Fee collection was not discussed in this section of the proposal – unable to assess B.2

**C. Training and Support**

- Training plan relies on trainer-the-trainer model which puts all the onus of planning and delivering trainings on OCP.
- Insufficient information was provided to determine if C.2, C.3 or C.4 were met; continued to be unclear whether the vendor envisions an ongoing role post-implementation or merely aims to configure the system and exit.
- A bank of custom development hours was not addressed in this section.

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**D. System Requirements** (includes assessment of requirements in body of the RFP as well as outlined in Appendix E Business Requirements)

- Functionality requested in D.1 can be provided; although D.1.b was not explicitly addressed
- Proposal met requirements in D.2.c-D.2.f
- Proposal did not meet the remaining requirements of Section 2 (Service Levels) due to a lack of substantive explanation of technical offerings and no details were provided on the specific service levels requested.
- Stated recovery times (24 hrs) exceed those sought in the RFP (1-2 hrs);
- Does not meet 99.95% expectation for service availability, only offers 99.90%. Generally, the language on this requirement was not clearly presented. Bidder did not provide AST SLA's, it was only noted that Salesforce doesn't offer a standard SLA.
- Remedies were not met; any remedy seems to be provided by Salesforce (not AST), and necessary details are missing.
- Although the proposal appears to meet D.5.a, all other requirements in Section D.5 (Records & Reporting) were not met as the proposal is silent on the nature of ongoing support provided after the build is completed.
- The proposal continues to be unclear about AST's role post-build in Section D.6: will AST actively maintain OCP's instance or are they functioning as a de facto reseller of Salesforce?
- D.6.a, d and e were met.
- D.7 – D.12 were met.
- Interface Requirements (Section D.13) was missing details, substance, and generally failed to demonstrate robustness.
- Requirements for D.13.a and D.13.c – k were met
- Not enough information was provided to understand how they would customize Salesforce to meet our unique needs re: D.13.b
- Proposal makes clear that Salesforce (the platform) is capable of being configured to meet the requirements in Section D.13, but we do not know if AST can deliver those configurations within the timeframe stated in the implementation plan.
- Most features in D.13 require configuration rather than being provided as a part of the off-the-shelf offering.
- Unclear if mandatory functionality in D.13.l, m or n are met in part or full.
- API functionality for manifests is configurable
- Virtually all functionality requested in Section D.14 (Configuration Requirements) requires some degree of configuration, however, the proposal was often silent on *what* the configuration would entail. "Salesforce can do it" was repeatedly stated but not supported with documentation, mockups, or use cases. A flexible tool is advantageous only when there is clarity about how that flexibility will be used to meet



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TEAM CONSENSUS EVALUATION NOTES**

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specific, defined needs. In this case, the proposal did not provide that clarity.

- Both batch tagging (FSBT) and variety packs can be provided but require configuration.
- Desirable features from D.14.k and D.14.m can be provided but require configuration.
- Unclear if D.14.l was met - no explanation provided for configuration given it requires integration with another system (RFID scanner).
- D.15 not met
- D.16 – D.19 were met

**E. Technical Assessment**

- Not-Met Technical Assessment, as submitted.
- If selected, as part of the contracting process, the bidder must:
  - Submit the Security Controls they have implemented for the actual Utah application, as opposed to listing the out-of-the-box Salesforce security features;
  - Said submissions must be vetted by OIT Security Architecture; and
  - Based upon the OIT Security Architecture feedback, conditions/deliverables will be inserted into the contract, such as remediation schedule, compensating controls, etc.

**Implementation – Workplan & Training Plan**

- Work plan is overly broad and lacks sufficient detail. Many critical design and configuration decisions were deferred until after the contract award.
- Data migration plan was provided and contains the right steps, but it does not have enough detail on the end product to know if the plan is in fact comprehensive. It also defers much of the responsibility to OCP to clean, extract and validate data.
- Claiming to be able to do a significant amount of development in a very short timeframe; Team expressed concerns about how aggressive the timeline is and whether it is realistic.
- Customization/configuration plan lacks sufficient detail to fully evaluate whether the proposed system would meet core functionality needs. For example, simply stating that a configurable system *could* be tailored to our needs is insufficient without explaining *how* that would occur and *who* would be responsible for each component.
- The implementation and training plans submitted were not sufficiently developed and lacked specificity. Overall, the bidder did not present a comprehensive strategy for this work.
- “Train-the-trainer” and “end-use-trainer” training models delegates all responsibility to OCP to deliver trainings. OCP does not have the in-house capacity to do this on a limited or on-going basis.
- There are no training materials at present – everything will need to be developed after the tool is built. Long-term material development and/or training needs similarly not addressed. This is not an insignificant amount of work.

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**F. Analytics Reporting**

- Offerings appear to be sufficient, but language is vague.

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**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal		Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$75,000</b>		<b>\$2,596,994.66</b>	<b>x</b>	<b>30 points</b>	<b>=</b>	<b>.87</b>

Additional Desired Features & Requirements (Consensus Evaluation)	Maximum Points	Score
	<b>10</b>	<b>7</b>

Additional System Desired Requirements	Points	Cost	Points Awarded
1. Industry Subscription Fees	<b>2</b>	<b>\$0</b>	<b>2</b>
2. Tagging Fees	<b>1</b>	<b>\$0</b>	<b>1</b>
a. Plant Tags			
b. Package Tags			
c. Other Tags (please specify)			
3. Additional Non-Tag and Subscription Fees Licensees Incur	<b>1</b>	<b>\$0</b>	<b>1</b>
<b>Additional System Desired Functionality</b>			
1. API Functionality for Manifests	<b>1</b>		<b>1</b>
2. Supportive of Radio Frequency Identification (RFID) Tags and Handheld RFID Scanners	<b>1</b>		<b>0</b>
3. Sandbox Environment	<b>1</b>	<b>\$14,180.17</b>	<b>0</b>
4. Replicating Database Tables/ Analytics Offerings	<b>1</b>		<b>1</b>
5. Enhanced Testing User Experience (Clearly States the Mandatory Testing Requirements and Sample Size)	<b>1</b>		<b>1</b>
6. Custom Development (Per Hour)	<b>1</b>	<b>\$</b>	<b>0</b>

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<b>Proposed Total Cost:</b>	<b>\$14,180.17</b>	
<b>Score (10 Points):</b>		<b>7</b>

**Evaluation Team Comments:**

- Points were awarded using a consensus scoring approach for the 10 points available in this section. Those points were awarded based on the value each proposed feature would deliver relative to its cost, whether to the Department or to licensees. Full points were given when features were provided at no cost, while partial or no points were awarded when costs were involved, depending on their impact and overall value.
- Full points awarded for costs to industry as there would be no monthly fee or tagging costs.
- Full points awarded for API Manifests, Data Tables/Analytics Offerings and Enhanced Testing User Experience functionality as they are included at no cost in the base price of the contract.
- Zero points awarded for supporting RFID (or similar) technology & scanners because the functionality sought in the RFP doesn't appear to be supported in the proposal. Scanners are discussed (note 21 in the pricing narrative) but the costs were not disclosed.
- Zero points awarded for Sandbox functionality as it would be an additional cost incurred by the Department.
- Zero points awarded for Custom development hours as pricing was not shared and proposal narratives appear to defer responsibility for custom development to the Department.

**STATE OF MAINE  
TEAM CONSENSUS TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 07 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

**Not-Met Technical Assessment, as submitted. The Consensus Scoring must reflect that. Nonetheless, should this bidder end up being the top scorer, as part of the contracting process,**

- (1) The bidder must submit the Security Controls they have implemented for the actual Utah application, as opposed to listing the out-of-the-box Salesforce security features;**
- (2) Said submissions must be vetted by OIT Security Architecture; and**
- (3) Based upon the OIT Security Architecture feedback, conditions/deliverables will be inserted into the contract, such as remediation schedule, compensating controls, etc.**

**Data Compliance**

NIST 800-171: *Adequate Response. Weak Evidence. No substantiation.*

Maine FOAA: *Adequate Response. Missing Evidence.*

Maine Breach Notification Law: *Adequate Response. Missing Evidence.*

NIST 800-53: Rev5: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

Privacy Act of 1974: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

U.S. DHHS-OCSE: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

PCI-DSS: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

ACH: *Adequate Response. Weak evidence because of confusion regarding attestation.*

IRS 1075: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

IRS 1075 Contractor Addendum: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

IRS 1075: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

MARS-E 2.0: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

DDPA: *Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.*

**MaineIT**

H1: *Adequate Response. Strong Evidence. Industry-leading Platform Architecture.*

H2: *Adequate Response. Strong Evidence. Evidence link.*

H3: *Adequate Response. Weak Evidence.*

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCP CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 07 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>A1: Adequate Response. Strong Evidence. Evidence link.</i>
<i>A2: Adequate Response. Adequate Evidence. Credit for previous Evidence link.</i>
<i>A3: Adequate Response. Strong Evidence. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>A4: Adequate Response. Strong Evidence. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<b>Information Security Standards</b>
<i>S1: Adequate Response. Strong Evidence. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>S2: Adequate Response. Strong Evidence. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S3: Adequate Response. Weak Evidence. Essentially declaimed Accountability.</i>
<i>S4: Adequate Response. Weak Evidence. Essentially declaimed Accountability.</i>
<i>S5: Adequate Response. Missing Evidence.</i>
<b>Cloud Service Provider Reqs</b>
<i>CSP1: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP2: Adequate Response. Strong Evidence. Evidence link.</i>
<i>CSP3: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP4: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP5: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP6: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP7: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP8: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP9: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP10: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP11: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP12: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP13: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP14: Adequate Response. Weak Evidence. Did not address the control.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N2: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N3: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N4: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 07 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>N5: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N6: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N7: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N8: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N9: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N10: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N11: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N12: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N13: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N14: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014  
**RFP TITLE:** Cannabis Inventory Tracking System  
**BIDDER:** Metrc  
**DATE:** 5.30.25

**SUMMARY PAGE**

**Department Name:** Department of Administrative and Financial Services  
**Name of RFP Coordinator:** Lisa Roberts  
**Names of Evaluators:** Vernon Malloch, Eric Miller, and Elisa Ellis

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<u>Pass/Fail Criteria</u>	<u>Pass</u>	<u>Fail</u>
Section I. Preliminary Information (Eligibility)		
<ul style="list-style-type: none"><li>Bidder must have a minimum of three (3) years' experience in the development, production deployment, support, and maintenance of an inventory tracking solution.</li></ul>	<b>Pass</b>	
<u>Scoring Sections</u>	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>10</b>	<b>9</b>
Section III. Proposed Services	<b>50</b>	<b>45</b>
Section IV. Cost Proposal	<b>40</b>	<b>34.75</b>
- Total Cost	<b>30</b>	<b>30</b>
- Additional System Requirements & Desirable Features Costs	<b>10</b>	<b>4.75</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>88.75</u></b>



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** Metrc

**DATE:** 5.30.25

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

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**Evaluation Team Comments:**

- Pass - Bidder is the incumbent vendor
- No additional Evaluation Team comments

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** Metrc

**DATE:** 5.30.25

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

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>10</b>	<b>9</b>

**Evaluation Team Comments:**

1. Overview of Organization <ul style="list-style-type: none"><li>• 14 years of experience in cannabis tracking and currently working in 27 states.</li><li>• Maine's current vendor of record.</li><li>• 230+ integrators</li><li>• &gt;90% 5-star reviews of Metrc support by Maine licensees in January 2025.</li></ul>
2. Subcontractors <ul style="list-style-type: none"><li>• Do not intend to use, but no clear plan for how they would be hired, if needed.</li><li>• Would have liked to see additional detail on how they would secure subcontractors if the need arose, but the proposal is currently silent about this.</li></ul>
3. Organizational Chart <ul style="list-style-type: none"><li>• Robust team; 14 named individuals for project team</li><li>• More detail desired on underlying engineering team that would support ME contract</li></ul>
4. Litigation <ul style="list-style-type: none"><li>• Provided and confidential; no concerns regarding content shared.</li></ul>
5. Financial Viability <ul style="list-style-type: none"><li>• No concerns</li><li>• Provided 2022 and 2023 audited financials and unaudited financials from 2024.</li></ul>
6. Licensure/Certifications <ul style="list-style-type: none"><li>• SOC 2 Type II, PCI-DSS, NIST 800-53, OWASP Top 10, and Veracode Verified</li></ul>
7. Certificate of Insurance <ul style="list-style-type: none"><li>• Policies vary widely, what does it actually cover? (To get more information if selected)"</li></ul>
8. Prior Contractual Obligations <ul style="list-style-type: none"><li>• All contracts implemented on time and on budget in the past five years.</li></ul>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

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**EVALUATION OF SECTION III  
Proposed Services**

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** Metrc

**DATE:** 5.30.25

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>50</b>	<b>45</b>

**Evaluation Team Comments:**

**Services to Be Provided** – Overall the proposal was clear, well organized and relatively easy to navigate.

**A. General Requirements**

- All elements of this section were met.

**B. Standard Contract Management**

- All elements of this section were met.

**C. Training and Support**

- All elements of this section were met.

**D. System Requirements**

- All aspects of D.1 were met.
- Service Levels D.2.a – D.2.c and D.2.e – D.2.f were met.
- D.2.d was met. Would have liked to see *how* the bidder will ensure a maximum response time of <5 seconds with any new functionality, given the existing intermittent but recurring timeout or >5 second wait time occurrences the Department has experienced with the existing DBQ tool.
- D.2.g was met and evidenced by the bidder providing the actual resolution times for D.2.g.i-iv in November and December 2024; each came in well under the maximum allowed turn around time. For example, in g.ii, the maximum allowed turn around is 24 hours, whereas the actual turn around time was approximately 1 hour in November and 4 hours in December.
- D.3 (Service Availability) was met and bidder agreed to calculations used.
- Remedies section, D. 4, was intuitive and clear; details were provided based on the type of service failure.
- All aspects of D.5 were met.
- D.6.a – D.6.c were met and the team appreciated the documentation provided to substantiate D.6.a and D.6.b as well as the background provided into *how* D.6.c would be done.
- Bidder affirmatively states D.6.d will be met. However, despite the written assurances in the proposal, the Evaluation team has prior direct experience with bidder removing beneficial functionality, as well as *attempting* to remove beneficial functionality but ultimately not doing so following customer pushback – examples include, but are not limited to, sunseting Red Note and attempts to decommission the DBQ data query tool and state API - that conflict with the commitment made herein.

**STATE OF MAINE  
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- D.6.e - Same comments as above in 6.d. If selected, to confirm with vendor their ability and capacity to meet the two-week advance notice requirement articulated in this deliverable.
- D.7 was met, although the responsive content for this functionality was found in D.13.c.
- D.8 – D.12 were met.
- D.13.a was met.
- D.13.b was weakly met. The Department's actual experience using the software's administrative user interface (UI) is that while ultimately usable, it is not sufficiently so to satisfy the vendor's claims of "user-friendly" made in the proposal. When coupled with critical feedback we've heard from industry, this indicated to the Evaluation Team that the system's actual UI falls short of the quality promised in the proposal, and there is no language in said proposal promising the development of an *improved* UI that would fully satisfy this condition going forward.
- D.13.c was read to mean that OCP can construct an ETL to get data onto any other database including, but not limited to, a SOM hosted database. To confirm with bidder if selected.
- D.13.d – e were met.
- D.13.f was met by saying vendor already provides this functionality. However, based on the Evaluation Teams actual experience with vendor (as noted above in D.6.d - e and D.13.b) it is recommended that if bidder is selected, it is confirmed that there will be no loss in current functionality including how we access their database or perform queries with the database.
- D.13.g – k were met.
- D.13.l had several parts. Part (i) was met – functionality was evidenced but ease of use was not; (ii) was met; (iii) was met by proposing to use Insights (the bidders analytics offering which is not included in the Departments current contract) to set tolerance levels. However, no screen shots or visuals were provided to demonstrate functionality claimed; (iii.1) was met, and bidder will develop two (2) custom notifications specific to the Department needs. Additional alert functionality has limitations and potential costs (page 136) but those costs are not detailed; and (iv) was met.
- D.13.m was met.
- D.13.n.i was met; D.13.n.ii was also met, but if selected, vendor to confirm and demonstrate, that the appropriate end point(s) exist (and work).
- D.13.o (API Manifests) was met, however the Evaluation Team expressed concern that this functionality appears to be behind a paywall.
  - Q: Is this functionality behind a paywall? Figure 46 suggests that this is a "version 2" which may not be available to all TPIs. To clarify with bidder if selected. This feature should not be behind a paywall.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

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- Section D.14 (Configuration Requirements) - Proposal states that all mandatory functionality exists in off-the-shelf offering with one exception that requires configuration. All desired functionality is also provided in the off-the-shelf offering with one exception that requires customization.
- D.14.a – D14.i were met; and functionality for 14.d (FSBT) was specifically called out as an existing feature that was developed for the Department and delivered ahead of the August 2023 deadline.
- D.14.j was weakly met due to a lack of evidence demonstrating how this would be accomplished. If selected, vendor shall demonstrate that given Maines complex testing regime, the system can actually adapt as described and ensure *all required tests have been passed prior to unlocking the package*.
- D.14.k had three parts: (i) was weakly met based on the same logic expressed in D.14.j above; (ii) was met; and (iii) was met.
- D14.l (RFID) was met. Bidder provided additional detail that Maine licensees are currently using new RFID tags that are comprised of 30% less plastic and have a recyclable outer layer.
- D.14.m (Sandbox) was met.
- D.15 – D.19 were met.

**E. Technical Assessment**

- Provisionally Met Technical Assessment, as submitted. Should this bidder end up being the top scorer, as part of the contracting process, the bidder must:
  - (1) The bidder must submit the latest SOC 2 Type 2 report;
  - (2) Said submission must be vetted by OIT Security Architecture; and
  - (3) Based upon the OIT Security Architecture feedback, conditions/deliverables will be inserted into the contract, such as remediation schedule, compensating controls, etc.

**F. Implementation – Workplan**

- The workplan provided was very granular and that could become problematic if it restricts real-time adaptability.
- Bidder commits to having the updated system live in “~120 days of contract signing” and to implementing configuration changes and granting access to Insights, even sooner.
- No data migration plan is needed as Metrc is the incumbent vendor.
- Bidder proposes conducting a “Fit/Gap” analysis which the Evaluation Team appreciated.
- Because the bidder is the incumbent, a training plan specific to launching the platform is not needed. Nevertheless, the proposal does include ample documentation on the variety of training materials and resources available to licensees and regulators. Bidder also commits to developing additional materials and trainings as needed.

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- Strong online learning presence via Metrc Learn which offers full self-service access to both basic and advanced training. Topics include function- and facility-specific workflows, as well as competency assessments.

**G. Analytics Reporting**

- Primarily met via Insights, Metrc's built-in analytics tool.
- Additional Metrc-assisted data access options such as custom notifications and data file extracts are included as is self-serve access via their Application Reporting and Data Warehouse.
- Insights is presented as a robust and pre-existing offering that is built on Salesforce; is not vaporware.
- Monthly data limits can trigger extra fees but proposal does not disclose fees or limits – will need to quantify and clarify with bidder if selected.
- Bidder will develop two (2) custom notifications specific to department needs.

**STATE OF MAINE  
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Lowest Submitted Cost Proposal		Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$75,000</b>		<b>\$75,000</b>	<b>x</b>	<b>30 points</b>	<b>=</b>	<b>30</b>

Additional Desired Features & Requirements (Consensus Evaluation)	Maximum Points	Score
	<b>10</b>	<b>4.75</b>

Additional System Desired Requirements	Points	Cost	Points Awarded
1. Industry Subscription Fees	<b>2</b>	<b>\$45</b>	<b>0</b>
2. Tagging Fees	<b>1</b>		<b>0</b>
a. Plant Tags			
b. Package Tags			
c. Other Tags (please specify)			
3. Additional Non-Tag and Subscription Fees Licensees Incur	<b>1</b>	<b>\$0.46</b>	<b>0</b>
<b>Additional System Desired Functionality</b>			
1. API Functionality for Manifests	<b>1</b>		<b>.25</b>
2. Supportive of Radio Frequency Identification (RFID) Tags and Handheld RFID Scanners	<b>1</b>	\$20 per reader per user	<b>.75</b>
3. Sandbox Environment	<b>1</b>		<b>1</b>
4. Replicating Database Tables/ Analytics Offerings	<b>1</b>		<b>1</b>
5. Enhanced Testing User Experience (Clearly States the Mandatory Testing Requirements and Sample Size)	<b>1</b>		<b>1</b>
6. Custom Development (Per Hour)	<b>1</b>	<b>\$235</b>	<b>.75</b>
<b>Proposed Total Cost:</b>		<b>\$235</b>	



**STATE OF MAINE  
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**DATE:** 5.30.25

<b>Score (10 Points):</b>	<b>4.75</b>
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**Evaluation Team Comments:**

- Points were awarded using a consensus scoring approach for the 10 points available in this section. Those points were awarded based on the value each proposed feature would deliver relative to its cost, whether to the Department or to licensees. Full points were given when features were provided at no cost, while partial or no points were awarded when costs were involved, depending on their impact and overall value.
- Zero points were awarded for the proposed monthly subscription fee, which would increase the rate paid by licensees by \$5/month.
- Zero points were awarded for tagging fees and "additional non-tag and subscription fees". Tagging fees would increase to a flat rate of \$0.46 each - up from the current \$0.25 and \$0.45 rates - representing a significant cost increase for licensees. Although the bidder labeled these as "additional non-tag and subscription fees" in their cost proposal, the Evaluation Team assessed them as tagging fees based on their real-world application. The Team viewed this classification as misleading and inconsistent with the intent of the pricing evaluation. While these industry fees are usage-based, meaning costs are tied to the number of tags a licensee uses and thus are proportional to the size of the operation, helping to mitigate the financial impact on small businesses, ultimately, this bidder is proposing across the board cost increases to licensees, and therefore zero points were awarded in these categories.
- Partial points awarded for API manifests because while it can be provided at no cost to Department, it may be behind a paywall for TPIs. Absent information to verify that said cost is not passed to licensees and is universally accessible to all TPIs, full credit could not be awarded.
- Partial points awarded for supporting RFID (or similar) technology and scanners. The proposed solution aligns with the desired functionality and leverages existing technology, though it carries a cost of \$4,560 per year (\$20 per reader/month × 19 compliance officers). Despite the expense, the team agreed that the opportunity cost of not implementing this solution - reduced efficiency, lost time, and operational gaps - would be significantly higher.
- Full points awarded for Sandbox, Data Tables/Analytics Offerings and Enhanced Testing User Experience functionality as they are included at no cost in the base price of the contract.
- Partial points awarded for pricing on Custom Development rate.

**STATE OF MAINE  
TEAM CONSENSUS TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: Metrc**

**DATE: 07 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

**Provisionally Met Technical Assessment, as submitted. The Consensus Scoring must reflect that. Should this bidder end up being the top scorer, as part of the contracting process,**

- (1) The bidder must submit the latest SOC 2 Type 2 report;**
- (2) Said submission must be vetted by OIT Security Architecture; and**
- (3) Based upon the OIT Security Architecture feedback, conditions/deliverables will be inserted into the contract, such as remediation schedule, compensating controls, etc.**

**Data Compliance**

NIST 800-171: *Adequate Response. Missing Evidence. Did not address the control.*

Maine FOAA: *Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.*

Maine Breach Notification Law: *Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.*

NIST 800-53: Rev5: *Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.*

Privacy Act of 1974: *Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.*

U.S. DHHS-OCSE: *Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.*

PCI-DSS: *Adequate Response. Weak Evidence. Mentioned other party attestation but did not submit it.*

ACH: *Adequate Response. Weak Evidence. Mentioned other party attestation but did not submit it.*

IRS 1075: *Adequate Response. Weak Evidence.*

IRS 1075 Contractor Addendum: *Adequate Response. Weak Evidence.*

IRS 1075: *Adequate Response. Weak Evidence.*

MARS-E 2.0: *Adequate Response. Weak Evidence.*

DDPA: *Adequate Response. Missing Evidence. Did not address the control.*

**MaineIT**

H1: *Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.*

H2: *Adequate Response. Weak Evidence.*

H3: *Adequate Response. Weak Evidence.*

A1: *Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.*

A2: *Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.*

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: Metrc**

**DATE: 07 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>A3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>A4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<b>Information Security Standards</b>
<i>S1: Adequate Response. Weak Evidence.</i>
<i>S2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S5: Adequate Response. Adequate Evidence. Unambiguous statement. Missing versions.</i>
<b>Cloud Service Provider Reqs</b>
<i>CSP1: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentions VPAT, but did not submit it.</i>
<i>CSP5: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP6: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP7: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP8: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP9: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP10: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP11: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP12: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: Metrc**

**DATE: 07 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>CSP13: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>
<i>CSP14: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>
<i>N3: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N4: Adequate Response. Weak Evidence. Mentions "SOC 2 Type 2," but did not submit anything. Mentioned three Trust Services Principals: Security, Availability, and Confidentiality.</i>
<i>N5: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N6: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentions "SOC 2 Type 2," but did not submit anything.</i>
<i>N7: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N8: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N9: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N10: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N11: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N12: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N13: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N14: N/A</i>

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** Applications Software Technology

**DATE:** 04/17/2025

**EVALUATOR NAME:** Elisa Ellis

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*A. Overview of Organization*

- a. I – partnership with Salesforce

*B. Subcontractors*

- a. P – has a plan

*C. Organizational Chart*

- a. N – does not provide all information requested, no job descriptions, not much detail

*D. Litigation*

- a. P

*E. Financial Viability*

- a. P – strong financial viability

*F. Licensure/Certification*

- a. P

*G. Certificate of Insurance*

- a. Q – tech professional liability policies can vary widely, what coverages included with this policy

*II. Services to be Provided*

*A. General Requirements*

1. Yes
2. Yes
3. No – doesn't exist, needs configuration
4. Yes
5. Yes
6. Yes

*B. Standard Contract Management*

1. Yes
2. ?
3. Yes
4. Yes

*C. Training and Support*

1. No – sounds like they want to train OCP to train the end-users, rather than providing that training

2. Yes
3. Yes
4. Yes
5. Yes

*D. System Requirements*

*1. The System shall:*

- a. Yes
- b. Yes
- c. Yes

*2. Service Levels*

- a. No – w/in 24 hours
- b. No
- c. Yes
- d. No
- e. No
- f. Yes
- g. Yes

*3. Service Availability*

- a. Yes – claim 99.9%

*4. Remedies*

- a. No

*5. Records and Reporting*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes

*6. Updates and Upgrades*

- a. No – three complimentary updates each year
- b. No
- c. No
- d. No
- e. Yes/Maybe

7. Yes
8. Yes
9. Yes
10. Yes/Maybe
11. Yes
12. Yes

### *13. Interface Requirements*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes
- f. Yes
- g. Yes
- h. Yes
- i. Yes
- j. Yes – Q – can user enter seed count?
- k. Yes
- l. Yes
- m. Yes
- n. Yes
- o. Yes

### *14. Configuration Requirements*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes
- f. Yes
- g. Yes
- h. Yes
- i. Yes
- j. Yes
- k. Yes
- l. Yes
- m. Yes

15. Yes

16. Yes

17. Yes

18. Yes

### *Other:*

From Business & Technical Requirements (Appendix E)

P – all mandatory requirements included or available with configuration

P – all desired functionality included or available with configuration

N – there is more that needs configuration than already existing functionality

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** Application Software Technology

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*1. Overview of Organization*

- This provider does not have a ton of experience, and lacks 3 years of implementation with a single state.

*2. Subcontractors*

- I'm not familiar with AST from a previous role or project, so I do not know their own track record with scope creep and necessity to bring in help. However, I have noticed in my experience in the tech and consulting sectors that custom Salesforce implementations tend to balloon past budget and timelines quickly, given how immensely complicated and custom the base platform is. Hence, the cynic in me wants to assume here there's a meaningful likelihood AST brings in outside help for specific Salesforce domain expertise and/or extra hands to help.

*3. Organizational Chart*

- This feels like a lot of bodies on the project who are not developers, and none of them have titles that specifically contain the term "training". We probably don't need that many cooks in the kitchen.
- Otherwise, this seems reasonable.

*4. Litigation*

- Love that they don't have anything to mention here, but I'd still love a bit more background on what resources they have here (e.g. legal staff internally or on retainer). If they just inherit this from IBM, I'd want to know that as well.

*5. Financial Viability*

- No comments, IBM has a stellar reputation.

*6. Licensure/Certification*

- Other than my concerns above about sub-contractors, this is reasonable. Salesforce being so complicated will inevitably require a variety of expert developers to help build our platform if we went with AST, and it's validating to see they're taking this seriously. I also trust the Salesforce Cloud hosting platform.
- One thing that I'd love about working with AST's custom Salesforce solution (assuming it works as promised in all aspects) for us as opposed to a monolithic platform that's largely the same across



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multiple states would allow us to structure our data exactly how we want it. This will significantly aid with query times, improve our ability to mine our data for regulatory insights, and more.

*7. Certificate of Insurance*

- No comment.

*II. Proposed Services*

*1. Services to be Provided*

- I understand that Salesforce is a robust platform that almost certainly **could** cover all of our needs, but the lack of explanation or demonstration here as to *how* it will do so is worrying.
  - Most components here require configuration according to the MaineIT Technical and Business assessments, which given it's in Salesforce implies to me that it's yet to be done.
  - I, nor any member of the OCP, has expertise in Salesforce – hence, we would really be looking for a demonstration here of what these capabilities actually are and how they would be built.
  - To me, lack of actual explanation of *how* this will be done and seemingly punting this to the scoping and discovery stages of the contract implies they may not have a sound understanding of what our needs really are – and hence letting trust in the native capabilities of Salesforce do a *lot* of heavy lifting here. I'm sure they know what they're talking about, but as mentioned above we lack the Salesforce skillset and experience internally to verify that ourselves so *I really would like to see more detail.*
- Given AST's army of Salesforce certified engineers mentioned in the Organization Qualifications and Experience, I'm sure they could put their heads together and at least get neck-deep in technical specifics to reference (examples could include how they'll structure their data lake, how they'll integrate batch testing, etc.).
- Again, no one on our team at the OCP (including the data team) has a background in Salesforce development – meaning that we'll be 100% reliant on the AST team for all builds, changes, and implementation on top of verification that they actually *can* build the platform to our exact specification.

*2. Implementation – Work Plan*

- *Data Migration plan*

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- In general, I think this is reasonable assuming that their team is as competent as AST claims; Salesforce is extremely capable and teams migrate far more complex databases than our own all the time. However, I do think there would be some pretty substantial obstacles in our path if we meaningfully deviated from our current data lake's format, which given how flexible Salesforce is we probably would want to do – so while I don't worry about process here, I do work about timeline.
- *Plan for meeting all mandatory functions, especially those that require configuration or customization*
  - To be totally frank, I do not trust that this implementation plan is *implementable* in the timeframe specified no matter how much effort is put in:
    - a. This plan assumes an 8-week scoping timeline, which is highly unrealistic: this plan will need to involve speaking to dozens of stakeholders within Maine state government, drafting an *extremely* detailed plan of action following these scoping sessions (to a degree of detail many levels deeper than what is included in their proposal document), which then *still* needs to go through multiple rounds of review and comments from OCP.
    - b. Even for simple Salesforce implementations, it can take months to build given how difficult it can be to parallelize custom Salesforce development. This plan claims this will be finished in 4 months, which may be possible but in my professional experience will likely not be hit.
    - c. Most seriously of all, this timeline assumed an 8-12 week testing, training, and go-live timeline – training licensees and assisting with point of sale (PoS) integrations at minimum will take *much* longer than this.
    - d. Assuming AST would bring in an external stakeholder/contractor to provide RFID tagging, this still would be another variable timeline-wise we could not control for.

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- Maybe if this proposal already included a *ton* of detail around *exactly* how AST would go about building this custom Salesforce program, and the OCP was already 99% aligned around what this would look like, so they could get started on development shortly after the contract was signed instead of early Sept, this *might* be realistic (although I personally think it would not be). But with the information we've been given, I do not believe it is in any world.
- *Detailed training plan*
  - As there is minimal concrete context on this in the proposal, I cannot comment on this. Top of mind for me though is that Salesforce is notoriously difficult to learn – I'd be anxious about ensuring our licensees are adequately trained on using this system over the short-to-medium term.
  - On the positive side, starting from scratch using something like Salesforce would allow us to improve on our current training regimen and resources, which are transparently less than ideal, if we assume a long-term timeline that doesn't consider the substantial friction that will in my opinion almost certainly occur in 2026/27 using this system.

3. *Analytics Reporting*

- This one doesn't worry me at all. Although there is minimal context on this in the proposal, I am familiar with Salesforce's considerable reporting capabilities and how robust they are given time and investment. Top of mind for me would be ensuring that the AST team would actually *build* these for us (again, Salesforce is notoriously difficult to work with, and no one on the OCP team today has a Salesforce background).

4. *Technical Assessment (Appendix D) – reference notes from Technical Assessment Team*

- For non-security features: again, most answers largely come down to "It's Salesforce, it can do whatever". I understand this rationale and for most requirements we have I do agree that it's simply a matter of elbow grease and investment, but what they do *not* mention here is the sheer amount of both of these latter items in order to get any solution up to a sufficient standard for prime-time.
- For security answers: much of the same as above, except there's a bit more trust here as these features are inherited directly from the

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base Salesforce platform (as opposed to our project team needing to build them custom for us specifically).

5. *Business & Technical Requirements (Appendix E)*

- Again, I feel like a broken record here but it's *really* hard for me to judge this. With enough money and time virtually anything is possible with Salesforce, but both of these could very quickly inflate if and when unforeseen complexities arise. With the lack of detail provided on how exactly AST will solve for these requirements and with what resources, I do not feel that I can adequately assess their ability to build a solution to our needs within the timeframe required.

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INDIVIDUAL EVALUATION NOTES**

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**DATE:** April 22, 2025

**EVALUATOR NAME:** Vernon Malloch

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*1. Overview of Organization*

- *An IBM company partners with Salesforce, Oracle and AWS*
- *Very little cannabis experience and seemingly no completed seed to sale tracking systems (one in development for Utah Medical Cannabis)*
- *Only one of three project references relate to cannabis (Utah) and one is so vague that I cannot tell what the project did or does (MA Office of business Development)*

*2. Subcontractors Page 4 File 2*

- *AST will serve as the primary System Integrator.*
- *If OCP needs subcontractors we will have the opportunity to review applications.*

*3. Organizational Chart*

- *Page 5 of File 2*
- *Very little detail presented – not informative.*

*4. Litigation*

- *None to date*

*5. Financial Viability*

- *Provided a link to IBM Annual reports*
- *The reports for 2022, 2023, and 2024 show strong profits and balance sheets*
- *Documentation is not specific to AST, only the parent company of IBM*
- *Application Software Technology search in the annual reports returned no results*

*6. Licensure/Certification Page 5 File 2*

- *21 Salesforce certifications are listed; currently at Ridge level.*

*7. Certificate of Insurance*

- *Commercial general liability \$1,000,000 each occurrence agg \$2,000,000*

*II. Proposed Services*

*1. Services to be Provided*

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INDIVIDUAL EVALUATION NOTES**

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- *Seed to sale tracking using a Salesforce platform. The entire system must be developed and does not appear to exist beyond statements claiming SF could perform the required tasks with proper configuration. The system essentially does not exist yet.*
- 2. *Implementation – Work Plan*
  - *Data Migration plan*
    1. *A general plan is provided, not particularly detailed.*
  - *Plan for meeting all mandatory functions, especially those that require configuration or customization*
    1. *A detailed spreadsheet is included in File 3 that lists all the tasks required in the RFP. It seems like virtually everything requires some degree of customization or configuration. Suggests that the seed to sale tracking product does not exist yet. Many items I consider very basic to tracking software are not in place and require configuration.*
  - *Detailed training plan*
    1. *Plan calls for a train the trainer model and essentially delegates industry training to OCP staff.*
- 3. *Analytics Reporting*
  - *Customization using “Report Builder” tool that does not require coding.*
  - *Offers dashboards that can compile various reports*
- 4. *Technical Assessment (Appendix D) – reference notes from Technical Assessment Team*
- 5. *Business & Technical Requirements (Appendix E)*

Proposal Page	Notes	RFP Requirement
<b>AST Notes</b> Page 1 File 2	AST and Salesforce background on developing cannabis inventory tracking solution for Utah; I am unclear if this satisfies the minimum requirements to bid	

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Page 7 File 3	Explanation of Salesforce platform seems to imply that the system is capable, but does it exist, or will it be built out?	Maintain a detailed record at every stage from immature cannabis plant to the point of retail sale, return, disposal, or destruction
Throughout	Throughout the File 3 it refers to traceability and that Salesforce is fully capable. In each instance it is something that requires configuration.	Supports the identification, tracking, and tracing of medical and adult use cannabis in all its forms for the purposes of inventory, enforcement, investigation, and diversion prevention
	Not observed	Collect all industry fees and meet all related State and Federal reporting requirements related to fees
	Not observed	Participate in weekly meetings with the Department to ensure compliance with contract requirements and OCP business rules
	Not observed	Provide open channels for feedback from the Department and regulated industry users
Pages 12-13	AST will dev training and deliver through a train the trainer model. It would be our responsibility to train	Provide all training, including documentation and execution, including in-house Department training and regional in-person industry training, on an ongoing basis
	Not observed	A bank of Custom Development support hours to be made available when needed for ad-hoc requests from the Department, regulated industry members or legislature
	Not observed	24-hour support of the SaaS to the Dept and regulated members and entities
Item M. 1 Page 34 File 3	Yes but Salesforce does not offer a standard Service Level Agreement (SLA)	System availability 24/7
Page 3 File 3	Yes - Scalability and Configurable	Provide scalability and extensibility to accommodate any newly required Administrative, Executive, Legislative,

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		Judicial mandates, or other intergovernmental mandates
Item M. 1 Page 34 File 3	No - Salesforce does not offer a standard Service Level Agreement (SLA) for uptime; uptime is high (99.9%), but do not guarantee zero downtime.	Service levels / Planned outages limit 1 per month. 5 second response time to data lookups. 99.95% uptime
Page 14	Salesforce updates 3 X's per year	Updates and upgrades available to the Department at no additional cost when the awarded Bidder makes such updates and upgrades generally available to its users
Item P. Page 35	Yes - Salesforce allows organizations to create custom data retention policies, which can include retaining data for specific periods, such as 7 years. These policies can be tailored to meet various regulatory and business requirements	Retain records of date, time, quantity, price, and any other information, as determined by the Department, of each sale or transfer of cannabis seeds, cannabis plants, cannabis and cannabis products in all forms.
Page 15	Report Builder allows user to create standard and customized reports using a dashboard.  Not clear that any standard cannabis tracking reports exist	Allow for the creation of both standard and ad-hoc reports that provide the Department with analytics, including without limitation, total daily sales, total plants in production, total plants destroyed, total inventory adjustments, and package trace reporting. All reports must be available at the individual business level as well as provide industry-wide point-in-time metrics. Reports can be exported to Excel, CSV, TXT, Word or PDF formats.
Item C. 1 and 1.1 Page 31 File 3	Needs configuration. Notes no added cost and that secure connections and API	Provide verification (via data uploaded via the OCP licensing system interface) that the industry member's Department-issued credentials are valid, current and



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	functionality is supported by Salesforce	have not been suspended, revoked, or denied
Page 3 File 3	Says the solution will provide this – but I do not believe it exists at this point.	Provide for a user-friendly administrative interface that makes enforcement of State policies as efficient as possible while not overburdening the regulated cannabis industry
	Unknown	Provide a working interface with OCP's data analysis database
Page 3 File 3	Not observed, likely will require configuration, ALMS is mentioned once in general terms	Provide a working interface with ALMS
	Unknown	Provide a working interface for database queries, and via batch downloads, and API calls with the Department's data analytics database
	Unknown	Have an interface portal to provide access to all potential external users
Item N.3 Page 35 File 3	Yes	Permit users to submit all required tracking data through manual data entry
	Not observed	Permit users to submit all required tracking data through the use of software that connects to the tracking system maintained by the office through an API, including without limitation point-of-sale system software
Item 4 Page 31 File 3	States this is existing functionality	Data must be able to be conveyed in US Customary and Metric units
		Provide the ability for the regulated cannabis industry to enter all transactions, current inventory and other required information, as determined by the Department pertaining to the cultivation, processing, transfer, retail, testing and destruction

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		and disposal of cannabis and cannabis products in all forms.
	Not observed	Robust compliance related functionality Easily locate inventory and audit lifecycle trails Easily initiate recalls, holds and quarantines Automatically identify and “flag” abnormal transactions, products, or activities based on tolerance levels set by OCP
Item C. 6 Page 31 File 3	Needs Configuration, no added cost, general note says available through various built in and customizable features	Must include the following regulatory features: alert notifications, including automatically generated system-based notifications through a mutually agreed to format to designated users in the event of irregular cannabis supply chain activities, account setup, room/product setup, off-premises sale location setup, and edits, permissions, and log of data changes.
	Custom reporting is possible unknown how robust	Robust ad-hoc and pre-defined reporting functionality for OCP to determine compliance with Maine statutes and rules
Item C. 3 Page 31 File 3	Needs Configuration, no added cost, link provided to Salesforce data protection page	Be able to communicate with testing facilities, either directly with their LIMS or with alternative third-party software, chosen by the testing facility, for the purpose of simplifying and automating data transfers
Item C. 3 Page 31 File 3	Needs configuration	Ability to record all mandatory testing samples submitted, including matrix, date submitted, and weight; and testing results, including matrix, date submitted, weight, test, analyte, concentration, units, and pass/fail status.
Item C. 9	Needs Configuration	Robust API, at no-cost to industry and

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page 31 File 3		third-party software vendors, to communicate with third party integrators, including point-of-sale systems to mitigate manual data entry and convey public health and safety information, including without limitation: The ability to record retail sales including the ability to differentiate between sales conducted in-store, by delivery, and at specified events: Returns; Destruction; Tracking all phases of plant growth. The ability to transmit real time information to third party integrators about cannabis and/or cannabis products that are placed on administrative hold and/or subject to a product recall.
	Not observed	Provide API functionality for manifests
	Needs configuration	Be configurable to account for differences in business rules and user interface fields among regulated cannabis industry participants
Item E. Page 32 File 3	Needs configuration	Provide for the tracking and tracing of cannabis and cannabis products upon transfer and transportation, including information about the entities transferring and receiving cannabis inventory, as well as transfer date, quantity, price, and other required information, as determined by the Department.
Page 31 Item 2 File 3	Needs configuration	Provide a unique, non-repeating identification number for every plant or, as applicable, every group of plants and inventory item recorded in the System for both individual plants and batches of cannabis plants of the same varietal or cultivar in the same stage of growth

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Item 12 Page 33 File 3	Needs Configuration, no additional charge, no notes	Allow for the creation of “variety packs” of the same kind of cannabis item, into one package for retail sale. Ensure the individual inventory tracking and testing history for each flavor or cultivar combined into one variety pack is preserved and can be accessed through the regulator’s interface to facilitate recalls and compliance activities. Functionality shall assign to the entire variety pack package one unique inventory tracking number.
	Not observed	Allow for the entry of routes and trip tickets of secure transporters
		Provide regulators with access to data stored in the system, including use of a data map, and data dictionary upon request. The System must also provide regulators with access to all pertinent tables necessary to execute policy and compliance queries.
Item J. 1 Page 34 File 3	Needs configuration	Only give the industry access to the information in the system that they are required to access through role-based permissions
	Not observed	Detect cannabis and cannabis products that are subject to the States’ inventory tracking system, and have not met Maine’s mandatory product testing requirements, prior to those products being eligible for sale to consumers.
Item E. 17 page 33 file 3	Needs configuration	Clearly state the mandatory testing required for each item at each stage, including how much of a sample needs to be sent for testing based upon the size of the batch to subject to testing and in accordance with program requirement and the System is able to provide industry users with visibility of

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		non-proprietary information for unaffiliated transfers such as harvest date, test date, pass/fail information, treatment data and remediation data.
Item F. 12 page 33 File 3	Needs configuration, no added cost, no notes	Support of RFID tags and handheld RFID scanners for regulators, or other technology that minimizes manual counting of plants
Item 6 Page 31 File 3	Needs configuration No other notes except no additional cost	Provide users with a training environment, separate from any department sandbox or user's live environment. Utilized for testing and training purposes via subscription for industry users at a cost mutually agreed upon by the State and the awarded Bidder. The training environment will either mimic the user's live environment or be a generic environment with all the same live functionality
	Not observed	Allow for templates or automation of commonly used processes. Including, for example: selection of commonly used testing requirements for products by product type.
Item N. 1 and 2 Page 35 File 3	Needs configuration	Allow users to easily correct data entry errors that have impacts on downstream operations, and provide audit trails of all updates/changes
Item P. Page 35	Not observed – except data retention policy of 7 years must be achieved. Needs configuration	Allow for archival of locations, strains, and other items without breaking the audit chain.
	Not observed	Allow regulators visibility to full upstream and downstream of testing history

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 18 Mar 2025**

**EVALUATOR NAME: B. Victor Chakravarty**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Met/Not-Met Technical Assessment (<i>ONLY for Consensus, NOT for Individual</i>)</b>
<b>Data Compliance</b>
NIST 800-171: <i>Adequate Response. Weak Evidence. No substantiation.</i>
Maine FOAA: <i>Adequate Response. Missing Evidence.</i>
Maine Breach Notification Law: <i>Adequate Response. Missing Evidence.</i>
NIST 800-53: Rev5: <i>Adequate Response. Strong evidence. Compliance link.</i>
Privacy Act of 1974: <i>Adequate Response. Strong evidence. Compliance link.</i>
U.S. DHHS-OCSE: <i>Adequate Response. Strong evidence. Compliance link.</i>
PCI-DSS: <i>Adequate Response. Strong evidence. Compliance link.</i>
ACH: <i>Adequate Response. Missing Evidence.</i>
IRS 1075: <i>Adequate Response. Strong evidence. Compliance link.</i>
IRS 1075 Contractor Addendum: <i>Adequate Response. Strong evidence. Compliance link.</i>
IRS 1075: <i>Adequate Response. Strong evidence. Compliance link.</i>
MARS-E 2.0: <i>Adequate Response. Strong evidence. Compliance link.</i>
DDPA: <i>Adequate Response. Weak Evidence. No substantiation.</i>
<b>MaineIT</b>
H1: <i>Adequate Response. Strong Evidence. Industry-leading Platform Architecture.</i>
H2: <i>Adequate Response. Strong Evidence. Evidence link.</i>
H3: <i>Adequate Response. Weak Evidence.</i>
A1: <i>Adequate Response. Strong Evidence. Evidence link.</i>
A2: <i>Adequate Response. Adequate Evidence. Credit for previous Evidence link.</i>
A3: <i>Adequate Response. Strong Evidence. Evidence link.</i>
A4: <i>Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<b>Information Security Standards</b>
S1: <i>Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
S2: <i>Adequate Response. Strong Evidence. Unambiguous statement. Counts toward Adequate Evidence.</i>
S3: <i>Adequate Response. Weak Evidence. Essentially declaimed Accountability.</i>
S4: <i>Adequate Response. Weak Evidence. Essentially declaimed Accountability.</i>
S5: <i>Adequate Response. Strong Evidence. Included in the Cost Proposal.</i>
<b>Cloud Service Provider Reqs</b>
CSP1: <i>Adequate Response. Weak Evidence. Did not address the control.</i>
CSP2: <i>Adequate Response. Strong Evidence. Evidence link.</i>
CSP3: <i>Adequate Response. Weak Evidence. Did not address the control.</i>
CSP4: <i>Adequate Response. Weak Evidence. Did not address the control.</i>
CSP5: <i>Adequate Response. Weak Evidence. Did not address the control.</i>
CSP6: <i>Adequate Response. Weak Evidence. Did not address the control.</i>

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 18 Mar 2025**

**EVALUATOR NAME: B. Victor Chakravarty**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>CSP7: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP8: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP9: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP10: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP11: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP12: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP13: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP14: Adequate Response. Weak Evidence. Did not address the control.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N2: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N3: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N4: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N5: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N6: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N7: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N8: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N9: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N10: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N11: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N12: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N13: Adequate Response. Strong Evidence. Credit for previous Evidence link.</i>
<i>N14: Quality of Response? Quality of Evidence? Any additional comment?</i>

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 18 Mar 2025**

**EVALUATOR NAME: Karen Knox**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Met/Not-Met Technical Assessment (ONLY for Consensus, NOT for Individual)</b>
<b>SalesForce Platform</b>
<b>Data Compliance</b>
NIST 800-171: <i>Attestations by a 3PAO</i>
Maine FOAA: <i>Not addressed No evidence cited</i>
Maine Breach Notification Law: <i>Nothing specific, indication of placing high priority on privacy and security.</i>
NIST 800-53: Rev5: <i>FedRAMP. Details available on request.</i>
Privacy Act of 1974: <i>Links to privacy statements.</i>
U.S. DHHS-OCSE: <i>No response</i>
PCI-DSS: <i>Level 1 compliance for certain apps, not sure about this one</i>
ACH: <i>Nothing on ACH</i>
IRS 1075: <i>Meets as outlined in the publication</i>
IRS 1075 Contractor Addendum: <i>Govt Cloud Plus assessed and compliant.</i>
IRS 1075: <i>See above</i>
MARS-E 2.0: <i>Meet MARS-E outlined by CMS and ACA</i>
DDPA: <i>Not specific just that they can help comply with various regulations including DDPA</i>
<b>MaineIT</b>
H1: <i>Yes, AWS Gov Cloud, FISMA, FUPS FedRAMP High and DoD IL5</i>
H2: <i>Yes. High availability, redundant, SPARC documentation available via URL.</i>
H3: <i>Yes. Incident response plan created based on FedRAMP, NIST, DoD</i>
A1: <i>Same response as H2.</i>
A2: <i>Doesn't explicitly define, just touting Salesforce as a robust development tool, immediate deployment to cloud based infrastructure</i>
A3: <i>Review of their SLA and 99.9% availability commitment. URL</i>
A4: <i>Salesforce doesn't own customer data, customers have full control</i>
<b>Information Security Standards</b>
S1: <i>FedRAMP High from NIST SP 800-53 Rev . Details available on request.</i>
S2: <i>AST primary system integrator, AST employees as possible, May hire subcontractors,</i>
S3: <i>If negotiated in contract.</i>
S4: <i>Govt Plus Cloud. Granted provisional P-ATO by FedRAMP</i>
S5: <i>Included in File 4-AST Cost Proposal. I don't have access to that document</i>
<b>Cloud Service Provider Regs</b>
CSP1: <i>Highly scalable and flexible multi-tenant SaaS. AI capabilities built in. High availability, independently scalable, logical partitioning.</i>
CSP2: <i>Yes, AD and Okta. ADFS and SSO. Details on both, URL for more information.</i>



**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 18 Mar 2025**

**EVALUATOR NAME: Karen Knox**

**EVALUATOR DEPARTMENT: DAFS-OIT**

CSP3: Yes. Security compliance, FedRAMP, NIST. Annual security assessment. URL to white paper, not specific to Maine policies
CSP4: Refer to CSP3 which doesn't specify any accessibility testing, certifications. Only security, recovery, storage, access management, PII, incident response etc.
CSP5: Refer to CSP3. Remotely hosted, SaaS and PaaS. Not a lot of detail.
CSP6: <i>Refer to CSP3. Data owned by customer, data retention.</i>
CSP7: Refer to CSP3. Refer to white paper.
CSP8: Refer to CSP3. Nothing specific on Access Control
CSP9: Refer to CSP3. User, delegated, federated authentication
CSP10: Refer to CSP3. Overview of security protocols, monitoring
CSP11: Refer to CSP3. Scope audits annually (SOC 2), internal and external assessments.
CSP12: Refer to CSP3.
CSP13: Refer to CSP3.
CSP14: Refer to CSP3.
<b>NIST Reqs</b>
N1: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N2: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N3: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N4: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N5: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N6: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N7: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N8: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N9: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N10: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
N11: <i>Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCP CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 18 Mar 2025**

**EVALUATOR NAME: Karen Knox**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>N12: Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
---

<i>N13: Yes compliant with NIST SP 800-53 rev 4, rev 5 not available to cloud service providers in FedRAMP program. No specific detail.</i>
---

<i>N14: Used same comment as above which is not relevant to question</i>
--

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #: 202501014**  
**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**  
**BIDDER NAME: AST**  
**DATE: 07 APR 2025**  
**EVALUATOR NAME: MATTHEW KEENE**  
**EVALUATOR DEPARTMENT: DAFS-OIT**

\*\*\*\*\*

**Individual Evaluator Comments:**

<b>Data Compliance</b>
NIST 800-171: <i>Adequate Response. Weak Evidence. No substantiation.</i>
Maine FOAA: <i>Adequate Response. Missing Evidence.</i>
Maine Breach Notification Law: <i>Adequate Response. Missing Evidence.</i>
NIST 800-53: Rev5: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
Privacy Act of 1974: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
U.S. DHHS-OCSE: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
PCI-DSS: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
ACH: <i>Adequate Response. Weak evidence because of confusion regarding attestation.</i>
IRS 1075: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
IRS 1075 Contractor Addendum: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
IRS 1075: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
MARS-E 2.0: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
DDPA: <i>Adequate Response. Weak evidence because the compliance link only covers the platform (Salesforce) and not the application.</i>
<b>MaineIT</b>
H1: <i>Adequate Response. Strong Evidence. Industry-leading Platform Architecture.</i>
H2: <i>Adequate Response. Strong Evidence. Evidence link.</i>
H3: <i>Adequate Response. Weak Evidence.</i>
A1: <i>Adequate Response. Strong Evidence. Evidence link.</i>
A2: <i>Adequate Response. Adequate Evidence. Credit for previous Evidence link.</i>
A3: <i>Adequate Response. Strong Evidence. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
A4: <i>Adequate Response. Strong Evidence. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 07 APR 2025**

**EVALUATOR NAME: MATTHEW KEENE**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Information Security Standards</b>
<i>S1: Adequate Response. Strong Evidence. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>S2: Adequate Response. Strong Evidence. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S3: Adequate Response. Weak Evidence. Essentially declaimed Accountability.</i>
<i>S4: Adequate Response. Weak Evidence. Essentially declaimed Accountability.</i>
<i>S5: Adequate Response. Missing Evidence.</i>
<b>Cloud Service Provider Reqs</b>
<i>CSP1: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP2: Adequate Response. Strong Evidence. Evidence link.</i>
<i>CSP3: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP4: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP5: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP6: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP7: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP8: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP9: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP10: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP11: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP12: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP13: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP14: Adequate Response. Weak Evidence. Did not address the control.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N2: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N3: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N4: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N5: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N6: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N7: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: AST**

**DATE: 07 APR 2025**

**EVALUATOR NAME: MATTHEW KEENE**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>N8: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N9: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N10: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N11: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N12: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N13: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>
<i>N14: Adequate Response. Weak evidence because the response only covers the platform (Salesforce) and not the application.</i>

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** 04/18/2025

**EVALUATOR NAME:** Elisa Ellis

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*A. Overview of Organization*

- P

*B. Subcontractors*

- N – would like to see a plan for if subcontractors should be needed for unforeseen circumstance.

*C. Organizational Chart*

- P – seems to be a robust team

*D. Litigation*

- P

*E. Financial Viability*

- P - stable

*F. Licensure/Certification*

- P

*G. Certificate of Insurance*

- Q - tech professional liability policies can vary widely, what coverages included with this policy

*II. Services to be Provided*

*A. General Requirements*

1. Yes
2. Yes
3. Yes
4. Yes
5. Yes
6. Yes

*B. Standard Contract Management*

1. Yes
2. Yes
3. Yes
4. Yes

*C. Training and Support*

1. Yes
2. Yes

- 3. Yes
- 4. Yes
- 5. Yes

*D. System Requirements*

*1. The System shall:*

- a. Yes
- b. Yes
- c. Yes

*2. Service Levels*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes
- f. Yes
- g. Yes – exceeds requirements

*3. Service Availability*

- a. Yes

*4. Remedies*

- a. Yes

*5. Records and Reporting*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes

*6. Updates and Upgrades*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes

- 7. Yes
- 8. Yes
- 9. Yes
- 10. Yes
- 11. Yes
- 12. Yes

### *13. Interface Requirements*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes
- f. Yes
- g. Yes
- h. Yes
- i. Yes
- j. Yes
- k. Yes
- l. Yes
- m. Yes
- n. Yes
- o. Yes

### *14. Configuration Requirements*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes – Q – one unique number?
- f. Yes
- g. Yes
- h. Yes
- i. Yes
- j. Yes
- k. Yes
- l. Yes
- m. Yes

15. Yes

16. Yes

17. Yes

18. Yes

### *Other:*

From Business & Technical Requirements (Appendix E)

P – all but 2 mandatory and desirable requirements are existing functionality, of the other two, one is needs configuration and one needs customization



**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*1. Overview of Organization*

- Metrc is the largest player in the space, so they have a lot of experience to pull from.

*2. Subcontractors*

- Happy there is no intention to use subcontractors, but this is not a promise – and there isn't language in here confirming a specific process for how they would be hired.

*3. Organizational Chart*

- No concerns – appropriate staffing as well as access to leadership in the event of escalation.

*4. Litigation*

- [REDACTED] While no results were material or resulted in adverse findings regarding Metrc, [REDACTED]

[REDACTED] (confidential)

*5. Financial Viability*

- No comment, appear positive.

*6. Licensure/Certification*

- Generally looks good, SOC II Type II is great to see and Azure hosting is trustworthy.

*7. Certificate of Insurance*

- No comment.

*II. Proposed Services*

*1. Services to be Provided*

- There is a TON of detail here on most of what is to be delivered from a training and technical perspective, almost to the point of excess (e.g. will they be able to keep to these exact processes outlined in all situations?).
- Noting that Metrc provides in its proposal the nice-to-have of RFID tags, which is a huge plus for both licensee and internal regulator experience.
- It is positive to see that Metrc would complete a fit/gap analysis of our needs in addition to providing the base platform. This ensures

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

any improvements we might want can be tackled as part of implementation or at least road-mapped.

1. However, a lot of the implementation section that contains this fit/gap analysis is what I would deem “word salad” – not a lot of substance of exactly what will be done. I would have liked to have seen more substance here of what can be done to improve any implementation.
- Regarding hosting/up-time requirements, geo-replication specifically called out is great – although only the database is specified here.
  1. Greatly appreciated the CrowdStrike interruption case study on uptime.
2. *Implementation – Work Plan*
  - *Data Migration plan*
    1. Noting that given Metrc is the State of Maine’s current solution, data migration on the core platform would not be a meaningful workstream. This is explicitly mentioned by Metrc in the proposal.
    2. In this vein, given that implementation would be streamlined I believe the implementation timeline is realistic.
  - *Plan for meeting all mandatory functions, especially those that require configuration or customization*
    1. As noted in my section below on business requirements, paramount to me is that all requirements that require customization or configuration would be best done combined with advanced analytics. I would like to see more on how the platform talks to Metrc Insights, as the proposal lacks sufficient detail on this in my eyes.
    2. Implementation of all other mandatory functions is relatively clear to me other than those mentioned in the business requirements section below.
  - *Detailed training plan*
    1. Positive to see the proposed continuation of Metrc-driven training vs forcing OCP to take on more of this responsibility. This is for both licensee- and internal staff-focused trainings.
      - a. That being said, I would like to see stronger proposed internal OCP staff training resources.
    2. Regarding the Metrc user exchange it’s good to see that engagement improved amongst participants following such

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

an event, but since this was an opt-in event we cannot claim it improves satisfaction, knowledge, and confidence across all licensees.

3. Usability labs as they are described would be must the same, as they'd also be opt-in events. It's also not clear to me how this is different in the intended outcome from a user exchange.
4. Q: Given this, I'd really like to see how Metrc would propose driving attendance and experience with *required* trainings. Namely, the resources are there but I would like to see a more robust system for ensuring it reaches the eyeballs of all T&T admins at minimum – ideally all Metrc users at the licensee level.
5. Would've liked to see more effective and hands-on API assistance detail in the proposal for licensees, ensuring their success as well as maximizing data quality at the regulatory level.

### 3. *Analytics Reporting*

- The biggest thing here is the inclusion of Metrc Insights, Metrc's direct query data environment provided to regulators so that they are able create custom reports and pipelines to other analytics platforms.
  1. This in theory would cover 100% of the OCP's analytics needs, as we could create a pipeline directly to Microsoft Power BI and build as many custom dashboards (both internally and externally facing) as needed. We have the internal technical expertise to do this regularly and at scale, and this provides a level of customizability that Metrc's standard reports appear to lack.
  2. However, one thing to note here is that the underlying nature of Insights as a Snowflake connection is not **explicitly** mentioned here, only Tableau (although there *is* a screenshot of this portal), nor are pipelines: only standard export file formats (.xlsx, .csv, .pdf, .jpeg, and .ppt). We would need validation that this in fact *does* include access to their Snowflake instance.
- Existing analytics documentation (especially around Insights) isn't meaningfully mentioned. The Data Dictionary mentioned on page

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

97 does not appear to cover things like shared fields across tables, table sizes, level of PII, etc.

1. Noting that this is promised on Page 124 under “Insights Documentation”, but not included in the proposal.
- Noting that the connection with ALMS section on Page 66 is generic (“The Metrc System is designed to integrate with various external systems, including license management systems, to ensure seamless data exchange and synchronization. These integrations consist of one-way API calls, meaning that Department systems provide information about business licenses by sending JSON-based information through the Metrc System API.”), which is a positive, future-proofing us in case of any changes to this system.
4. *Technical Assessment (Appendix D) – reference notes from Technical Assessment Team*
  - No further comment, all requirements met.
5. *Business & Technical Requirements (Appendix E)*
  - Q: Alerts functionality may be more effectively configured via Insights than the base platform, so I’d like to know more about how these talk to each other.
    1. Functionality to “trigger a notification at scheduled intervals” doesn’t cover this, as we’d be looking for notifications triggered by custom *conditions* not time intervals.
  - I would have liked more detail on exactly how implementation of variety packs should work in Metrc, given that it’s mentioned as included.
  - Point on #17: Again, even if we have to customize this ourselves a lot of the data/capability we would need is in Insights, so I’d like to see how Insights and the base platform talk to each other.

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** April 27, 2025

**EVALUATOR NAME:** Vernon Malloch

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*1. Overview of Organization*

- *System used by 27 government regulators in US*
- *14 years providing cannabis inventory tracking*
- *Maine's vendor since 2020*
- *Has provided 7 custom developments and 35 configurations changed for Maine*
- *90% five-star reviews of Metrc support (January 2025)*
- *Over 250 third party active integrations into Metrc system*

*2. Subcontractors*

- *Metrc does not intend to use subcontractors*

*3. Organizational Chart*

- *Lists 14 named individuals including CEO as proposed project team, with their roles and experience*
- *Org chart of company and chart of the project team for this RFP*

*4. Litigation*

*[REDACTED] (confidential)*

*[REDACTED] (confidential)*

*[REDACTED] (confidential)*

*[REDACTED] (confidential)*

- *Per Metrc "None of the matters were material or resulted in adverse findings regarding Metrc."*
- *No details provided on the facts or basis for the suits*
- *They do disclose the specific court and docket numbers*

*5. Financial Viability*

- *2022 and 2023 audited financials are included*
- *2024 financials are not yet audited but are provided*
- *[REDACTED]*

*[REDACTED] (confidential)*

*6. Licensure/Certification*

- *Azure network / Cloudflare*
- *Lists several security certifications that are more ME OIT area of expertise.*

*7. Certificate of Insurance*

- *Certificate dated 2/2025*

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** April 27, 2025

**EVALUATOR NAME:** Vernon Malloch

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

- *General liability is one million dollars each occurrence and two million aggregates*
- *Umbrella five million dollars*

**II. Proposed Services (More notes attached)**

**1. Services to be Provided**

- *Seed to sale tracking of cannabis plants and products closed loop end to end SaaS platform.*

**2. Implementation – Work Plan**

- *Data Migration plan*

**1. Not required, Metrc is the current vendor for OCP**

- *Plan for meeting all mandatory functions, especially those that require configuration or customization*

**1. The vast majority of mandatory function requirements are met currently.**

**a. Not clear about API for transfer manifests but suggest a template?**

**b. Does not require sample size for testing requirements but is willing to work to implement this – no details provided**

- *Detailed training plan*

**1. Strong response includes industry and regulator training**

**a. Strong online training program – Metrc Learn**

**b. New user and advanced training offerings**

**c. Function specific training offerings**

**3. Analytics Reporting – fully developed (notes are attached)**

**4. Technical Assessment (Appendix D) – reference notes from Technical Assessment Team**

**5. Business & Technical Requirements (Appendix E)**

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** METRC

**DATE:** April 27, 2025

**EVALUATOR NAME:** Vernon Malloch

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

Proposal Page	Notes	RFP Requirement
<b>Metrc</b>		
Throughout File 3	Yes	Maintain a detailed record at every stage from immature cannabis plant to the point of retail sale, return, disposal, or destruction
Pages 70+71 File 3	Yes, end to end, closed loop inventory tracking system	Supports the identification, tracking, and tracing of medical and adult use cannabis in all its forms for the purposes of inventory, enforcement, investigation, and diversion prevention
Page 17 File 3	Yes, they accept credit cards and checks with plans to allow ACH	Collect all industry fees and meet all related State and Federal reporting requirements related to fees
Page 18 File 3	Yes, and suggest quarterly business reviews (QBR)	Participate in weekly meetings with the Department to ensure compliance with contract requirements and OCP business rules
Page 18 File 3	Yes – strong response	Provide open channels for feedback from the Department and regulated industry users
Page 21+++ File 3	Yes, extensive offerings for regulators and licensees. Includes online and in person options. Metrc Learn, learning Journeys, User exchange (annually in person for licensees) and guidance bulletins. 11 documents cover various topics	Provide all training, including documentation and execution, including in-house Department training and regional in-person industry training, on an ongoing basis
Page 31 File 3	Yes. Custom development request process is outlined. Cost is variable. No amount of work is specifically included – as far as I can tell. It	A bank of Custom Development support hours to be made available when needed for ad-hoc requests from the Department, regulated industry members or legislature

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

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	looks like a time and materials situation per request.	
Page 33 File 3	Yes, online fully cloud hosted SaaS platform	24-hour support of the SaaS to the Dept and regulated members and entities
Page 39 File 3	Yes	System availability 24/7
Page 39 File 3	Yes, fully scalable. Gives examples of other states needing scaled responses. MI, OH, and OK	Provide scalability and extensibility to accommodate any newly required Administrative, Executive, Legislative, Judicial mandates, or other intergovernmental mandates
Page 42 and 48 File 3	Yes. Currently doing this in Maine	Service levels / Planned outages limit 1 per month. 5 second response time to data lookups. 99.95% uptime
Page 53 File 3	Yes	Updates and upgrades available to the Department at no additional cost when the awarded Bidder makes such updates and upgrades generally available to its users
Page 57 File 3	Yes	Retain records of date, time, quantity, price, and any other information, as determined by the Department, of each sale or transfer of cannabis seeds, cannabis plants, cannabis and cannabis products in all forms.
Page 59 File 3	Yes	Allow for the creation of both standard and ad-hoc reports that provide the Department with analytics, including without limitation, total daily sales, total plants in production, total plants destroyed, total inventory adjustments, and package trace reporting. All reports must be available at the individual business level as well as provide industry-wide point-in-time metrics. Reports can be exported to Excel, CSV, TXT, Word or PDF formats.
Page 62 File 3	Yes	Provide verification (via data uploaded via the OCP licensing system interface) that the industry member's Department-issued credentials are valid, current and have not been suspended, revoked, or denied



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Page 62/63/64/65 File 3	Yes, use Web Content Accessibility Guidelines (WCAG). Ease of use and intuitive design discussed in depth. Data validation blocks some mistakes from being recorded such as future dating and transfers of items not in inventory. System templates available for some things and they will auto populate some fields.	Provide for a user-friendly administrative interface that makes enforcement of State policies as efficient as possible while not overburdening the regulated cannabis industry
Page 66 File 3	Yes, current functionality	Provide a working interface with OCP's data analysis database
Page 10 + 66 File 3	Yes, already exists and fully functional	Provide a working interface with ALMS
Page 67 File 3	Yes, current functionality	Provide a working interface for database queries, and via batch downloads, and API calls with the Department's data analytics database
Page 67 File 3	Yes, current functionality	Have an interface portal to provide access to all potential external users
Page 65+67 File 3	Yes. Manually, scheduled uploads or API	Permit users to submit all required tracking data through manual data entry
Page 68 File 3	Yes, current functionality	Permit users to submit all required tracking data through the use of software that connects to the tracking system maintained by the office through an API, including without limitation point-of-sale system software
Page 70 File 3	Yes	Data must be able to be conveyed in US Customary and Metric units

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Page 70+71 File 3	Yes, system is closed loop and end to end inventory tracking	Provide the ability for the regulated cannabis industry to enter all transactions, current inventory and other required information, as determined by the Department pertaining to the cultivation, processing, transfer, retail, testing and destruction and disposal of cannabis and cannabis products in all forms.
		Robust compliance related functionality Easily locate inventory and audit lifecycle trails Easily initiate recalls, holds and quarantines Automatically identify and “flag” abnormal transactions, products, or activities based on tolerance levels set by OCP
Page 85 File 3	Yes	Must include the following regulatory features: alert notifications, including automatically generated system-based notifications through a mutually agreed to format to designated users in the event of irregular cannabis supply chain activities, account setup, room/product setup, off-premises sale location setup, and edits, permissions, and log of data changes.
Page 85 File 3	Yes	Robust ad-hoc and pre-defined reporting functionality for OCP to determine compliance with Maine statutes and rules
Page 87 File 3	Yes	Be able to communicate with testing facilities, either directly with their LIMS or with alternative third-party software, chosen by the testing facility, for the purpose of simplifying and automating data transfers
Page 87 File 3	Yes	Ability to record all mandatory testing samples submitted, including matrix, date submitted, and weight; and testing results, including matrix, date submitted, weight, test, analyte, concentration, units, and pass/fail status.
Page 87+88 File 3	Yes	Robust API, at no-cost to industry and third-party software vendors, to communicate with third party integrators, including point-of-sale systems to mitigate manual data entry and convey public health and safety information,

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		including without limitation: The ability to record retail sales including the ability to differentiate between sales conducted in-store, by delivery, and at specified events: Returns; Destruction; Tracking all phases of plant growth. The ability to transmit real time information to third party integrators about cannabis and/or cannabis products that are placed on administrative hold and/or subject to a product recall.
Page 88 File 3	No, maybe a template?	Provide API functionality for manifests
Page 89+90 File 3	Yes	Be configurable to account for differences in business rules and user interface fields among regulated cannabis industry participants
Page 90+91 File 3	Yes	Provide for the tracking and tracing of cannabis and cannabis products upon transfer and transportation, including information about the entities transferring and receiving cannabis inventory, as well as transfer date, quantity, price, and other required information, as determined by the Department.
Page 92	Yes	Provide a unique, non-repeating identification number for every plant or, as applicable, every group of plants and inventory item recorded in the System for both individual plants and batches of cannabis plants of the same varietal or cultivar in the same stage of growth
Page 96 File 3	Yes	Allow for the creation of "variety packs" of the same kind of cannabis item, into one package for retail sale. Ensure the individual inventory tracking and testing history for each flavor or cultivar combined into one variety pack is preserved and can be accessed through the regulator's interface to facilitate recalls and compliance activities. Functionality shall assign to the entire variety pack package one unique inventory tracking number.

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Page 96 File 3	Yes	Allow for the entry of routes and trip tickets of secure transporters
Page 97 File 3	Yes, Will we be Metrc Insights customers?	Provide regulators with access to data stored in the system, including use of a data map, and data dictionary upon request. The System must also provide regulators with access to all pertinent tables necessary to execute policy and compliance queries.
Page 98+99 File 3	Yes, and supports MFA	Only give the industry access to the information in the system that they are required to access through role-based permissions
Page 99 File 3	Yes	Detect cannabis and cannabis products that are subject to the States' inventory tracking system, and have not met Maine's mandatory product testing requirements, prior to those products being eligible for sale to consumers.
Page 99 File 3	Partial – does not cover sample size required but they are willing to add this.	Clearly state the mandatory testing required for each item at each stage, including how much of a sample needs to be sent for testing based upon the size of the batch to subject to testing and in accordance with program requirement and the System is able to provide industry users with visibility of non-proprietary information for unaffiliated transfers such as harvest date, test date, pass/fail information, treatment data and remediation data.
Page 100 File 3	Yes	Support of RFID tags and handheld RFID scanners for regulators, or other technology that minimizes manual counting of plants
Page 104 File 3	Yes	Provide users with a training environment, separate from any department sandbox or user's live environment. Utilized for testing and training purposes via subscription for industry users at a cost mutually agreed upon by the State and the awarded Bidder. The training environment will either mimic the user's live environment or be a generic environment with all the same live functionality

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Page 105-107 File 3	Yes – testing and several other templates listed	Allow for templates or automation of commonly used processes. Including, for example: selection of commonly used testing requirements for products by product type.
Page 108 File 3	Yes – walks through different paths based on type of error	Allow users to easily correct data entry errors that have impacts on downstream operations, and provide audit trails of all updates/changes
Page 110 File 3	Yes	Allow for archival of locations, strains, and other items without breaking the audit chain.
Page 110 File 3	Yes	Allow regulators visibility to full upstream and downstream of testing history

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**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: Metrc**

**DATE: 20 Mar 2025**

**EVALUATOR NAME: B. Victor Chakravarty**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Met/Not-Met Technical Assessment (ONLY for Consensus, NOT for Individual)</b>
<b>Data Compliance</b>
NIST 800-171: <i>Adequate Response. Weak Evidence.</i>
Maine FOAA: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
Maine Breach Notification Law: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
NIST 800-53: Rev5: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
Privacy Act of 1974: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
U.S. DHHS-OCSE: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
PCI-DSS: <i>Adequate Response. Weak Evidence.</i>
ACH: <i>Adequate Response. Weak Evidence.</i>
IRS 1075: <i>Adequate Response. Weak Evidence.</i>
IRS 1075 Contractor Addendum: <i>Adequate Response. Weak Evidence.</i>
IRS 1075: <i>Adequate Response. Weak Evidence.</i>
MARS-E 2.0: <i>Adequate Response. Weak Evidence.</i>
DDPA: <i>Adequate Response. Missing Evidence. Irrelevant response.</i>
<b>MaineIT</b>
H1: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
H2: <i>Adequate Response. Weak Evidence.</i>
H3: <i>Adequate Response. Weak Evidence.</i>
A1: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A2: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A3: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A4: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<b>Information Security Standards</b>
S1: <i>Adequate Response. Weak Evidence.</i>
S2: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>

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**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>S3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S4: Adequate Response. Weak Evidence. Vague response.</i>
<i>S5: Adequate Response. Strong Evidence. Unambiguous statement.</i>
<b>Cloud Service Provider Reqs</b>
<i>CSP1: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentions VPAT, but did not submit it.</i>
<i>CSP5: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP6: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP7: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP8: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP9: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP10: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP11: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP12: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>
<i>CSP13: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>
<i>CSP14: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>
<i>N3: Adequate Response. Weak Evidence. Vague statement.</i>

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**EVALUATOR DEPARTMENT: DAFS-OIT**

N4: Adequate Response. Weak Evidence. Mentions "SOC 2 Type 2," but did not submit anything.
N5: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N6: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentions "SOC 2 Type 2," but did not submit anything.
N7: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N8: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N9: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N10: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N11: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N12: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N13: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
N14: N/A



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**BIDDER NAME: METRC**

**DATE: 26 Mar 2025**

**EVALUATOR NAME: Karen Knox**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Met/Not-Met Technical Assessment (ONLY for Consensus, NOT for Individual)</b>
<b>Data Compliance</b>
NIST 800-171: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? NIST 800-53</i>
Maine FOAA: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Includes MFOAA</i>
Maine Breach Notification Law: <i>Quality of Response? Poor Quality of Evidence? Poor Any additional comment? Seem to have copied the PCI information here.</i>
NIST 800-53: Rev5: <i>Quality of Response? Poor Quality of Evidence? Poor Any additional comment? Seem to have copied the PCI information here.</i>
Privacy Act of 1974: <i>Quality of Response? Quality of Response? Poor Quality of Evidence? Poor Any additional comment? Seem to have copied the PCI information here.</i>
U.S. DHHS-OCSE: <i>Quality of Response? Poor Quality of Evidence? Poor Any additional comment? Seem to have copied the PCI information here.</i>
PCI-DSS: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? 3<sup>rd</sup> party that is PCI-DSS compliant, maintain their own PCI-DSS compliance.</i>
ACH: <i>Quality of Response? Poor Quality of Evidence? Poor Any additional comment? Did not respond to this</i>
IRS 1075: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Security controls in accordance with IRS 1075. Training for people with access to FTI data.</i>
IRS 1075 Contractor Addendum: <i>Quality of Response? Poor Quality of Evidence? Poor Any additional comment? Did not address</i>
IRS 1075: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Assessed every 3 years during attestation process, continuous monitoring.</i>
MARS-E 2.0: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? MARS-E part of the review</i>
DDPA: <i>Quality of Response? Poor Quality of Evidence? Poor Any additional comment? Adheres to all FIPS-199 for moderate impact level PII which isn't DPPA</i>
<b>MaineIT</b>
H1: <i>Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Azure Commercial Cloud. Data is US</i>
H2: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Review, test, verify annually</i>
H3: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? NIST 800-53, standardized processes</i>

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**EVALUATOR DEPARTMENT: DAFS-OIT**

A1: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Very detailed response, provided frequency and retention schedule
A2: Quality of Response? Very Good Quality of Evidence? Very GoodGood Any additional comment? Robust application scaling, SLA, SaaS and IaaS. Nothing specific about environments (test, dev, staging, etc)
A3: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Abide by all set out in RFP
A4: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Will assist if needed
<b>Information Security Standards</b>
S1: Quality of Response? Good Quality of Evidence? Good Any additional comment? NIST 800-53 controls, FIPS 199. No mention of State policies
S2: Quality of Response? Good Quality of Evidence? Good Any additional comment? Non-disclosures
S3: Quality of Response? Good Quality of Evidence? Very Good Any additional comment? Fairly detailed outline of process
S4: Quality of Response? Good Quality of Evidence? Good Any additional comment? NIST 800-53, moderate risk (is data moderate?)
S5: Quality of Response? Good Quality of Evidence? Good Any additional comment? None
<b>Cloud Service Provider Reqs</b>
CSP1: Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? Conform to all, single unified enterprise, accessibility scans
CSP2: Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? Robust, SSO, ADFS, MFA
CSP3: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Conform, 508 standards, VPAT in 2024.
CSP4: Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? Have taken steps already to meet accessibility standards, VPAT, cannot ensure accessibility if accessed via a 3 <sup>rd</sup> party solution
CSP5: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? SaaS, Azure Commercial Cloud
CSP6: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? Will conform and become familiar with our TLP
CSP7: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Understands security under CIO purview, will conform.
CSP8: Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? ADFS, SSO, MFA,

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CSP9: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? W3C, TLS 1.2, one time login keys</i>
CSP10: <i>Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? NIST, key stakeholders involved</i>
CSP11: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? comprehensive program, formally defined and governed</i>
CSP12: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? Will allow MaineIT to perform assessments, code scans, penetration testing, NIST 800-53 and SOC2, internal audits, risk assessments</i>
CSP13: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? System hardening, ID vulnerabilities, patching,</i>
CSP14: <i>Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Version control, automated deployment and release management tool</i>
<b>NIST Reqs</b>
N1: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? Very detailed</i>
N2: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? All levels receive annual training</i>
N3: <i>Quality of Response? Very Good Quality of Evidence? Good Any additional comment? NIST 800-34 and ISO 22301:2012</i>
N4: <i>Quality of Response? Very Good Quality of Evidence? Good Any additional comment? SOC 2 Type II audits</i>
N5: <i>Quality of Response? Very Good Quality of Evidence? Good Any additional comment? Prior to accessing systems, annually</i>
N6: <i>Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? DRBC plan tested annually. Reviews, simulations, exercises</i>
N7: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? NIST SP 800-122, technical controls and admin policies</i>
N8: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? NIST 800-53, forms authentication, tokens, detailed</i>
N9: <i>Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Incident response team, annual training, testing, tabletop exercises</i>
N10: <i>Quality of Response? Excellent Quality of Evidence? Excellent Any additional comment? Multi-layered architecture, TLS1.2, HTTPS, firewalls, IDS/IDP monitoring, encryption</i>
N11: <i>Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Strict control over maintenance, NIST guidelines,</i>

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**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>N12: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Detailed, TDE</i>
<i>N13: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? NIST 800-53, vendor assessment protocols,</i>
<i>N14: Quality of Response? Quality of Evidence? Any additional comment?</i>

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**BIDDER NAME: METRC**  
**DATE: 07 APR 2025**  
**EVALUATOR NAME: MATTHEW KEENE**  
**EVALUATOR DEPARTMENT: DAFS-OIT**

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**Individual Evaluator Comments:**

<b>Data Compliance</b>
NIST 800-171: <i>Adequate Response. Missing Evidence. Did not address the control.</i>
Maine FOAA: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
Maine Breach Notification Law: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
NIST 800-53: Rev5: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
Privacy Act of 1974: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
U.S. DHHS-OCSE: <i>Adequate Response. Missing Evidence. Copy-paste from another response. Mentioned a "security plan," but did not submit it.</i>
PCI-DSS: <i>Adequate Response. Weak Evidence. Mentioned other party attestation but did not submit it.</i>
ACH: <i>Adequate Response. Weak Evidence. Mentioned other party attestation but did not submit it.</i>
IRS 1075: <i>Adequate Response. Weak Evidence.</i>
IRS 1075 Contractor Addendum: <i>Adequate Response. Weak Evidence.</i>
IRS 1075: <i>Adequate Response. Weak Evidence.</i>
MARS-E 2.0: <i>Adequate Response. Weak Evidence.</i>
DDPA: <i>Adequate Response. Missing Evidence. Did not address the control.</i>
<b>MaineIT</b>
H1: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
H2: <i>Adequate Response. Weak Evidence.</i>
H3: <i>Adequate Response. Weak Evidence.</i>
A1: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A2: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A3: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A4: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>

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**BIDDER NAME: METRC**

**DATE: 07 APR 2025**

**EVALUATOR NAME: MATTHEW KEENE**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Information Security Standards</b>
<i>S1: Adequate Response. Weak Evidence.</i>
<i>S2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S5: Adequate Response. Adequate Evidence. Unambiguous statement. Missing versions.</i>
<b>Cloud Service Provider Reqs</b>
<i>CSP1: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentions VPAT, but did not submit it.</i>
<i>CSP5: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP6: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP7: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP8: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP9: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP10: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP11: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP12: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>
<i>CSP13: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>



**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #: 202501014**  
**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**  
**BIDDER NAME: METRC**  
**DATE: 07 APR 2025**  
**EVALUATOR NAME: MATTHEW KEENE**  
**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>CSP14: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentioned SOC 2, but did not submit it.</i>
<i>N3: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N4: Adequate Response. Weak Evidence. Mentions "SOC 2 Type 2," but did not submit anything. Mentioned three Trust Services Principals: Security, Availability, and Confidentiality.</i>
<i>N5: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N6: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence. Mentions "SOC 2 Type 2," but did not submit anything.</i>
<i>N7: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N8: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N9: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N10: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N11: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N12: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N13: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N14: N/A</i>



STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES

Janet T. Mills  
Governor

Kirsten Figueroa  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202501014**  
**RFP TITLE: Cannabis Inventory Tracking System**

I, Elisa Ellis, 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 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.**

*Elisa Ellis*

Signature

*3/17/2025*

Date





STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES

Janet T. Mills  
Governor

Kirsten Figueroa  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202501014**  
**RFP TITLE: Cannabis Inventory Tracking System**

I, Eric Miller, 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 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.**

*Eric Miller*

Signature

03/17/2025

Date



STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES

Janet T. Mills  
Governor

Kirsten Figueroa  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202501014**  
**RFP TITLE: Cannabis Inventory Tracking System**

I, Vernon Malloch, 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.

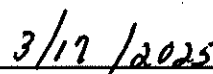
Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current 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 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

  
\_\_\_\_\_  
Date



STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES

Janet T. Mills  
Governor

Kirsten Figueroa  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202501014**  
**RFP TITLE: Cannabis Inventory Tracking System**

I, B. Victor Chakravarty, 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 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

17 Mar 2025  
Date



STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES

Janet T. Mills  
Governor

Kirsten Figueroa  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202501014**  
**RFP TITLE: Cannabis Inventory Tracking System**

I, Karen Knox, 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 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.**

Karen Knox

**Signature**

March 17, 2025

**Date**



STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES

Janet T. Mills  
Governor

Kirsten Figueroa  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202501014**  
**RFP TITLE: Cannabis Inventory Tracking System**

I, Matthew Backus, 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 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.**

<u>Matthew Backus</u>	<u>March 31, 2025</u>
<b>Signature</b>	<b>Date</b>



STATE OF MAINE  
DEPARTMENT OF ADMINISTRATIVE  
AND FINANCIAL SERVICES

Janet T. Mills  
Governor

Kirsten Figueroa  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202501014**  
**RFP TITLE: Cannabis Inventory Tracking System**

I, Lisa Roberts, 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 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.**

*Lisa Roberts*

Signature

3.17.25

Date

The following evaluation notes were completed for BioTrackTHC, prior to the Bidder's withdrawal of the proposal on July 22, 2025.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014  
**RFP TITLE:** Cannabis Inventory Tracking System  
**BIDDER:** BioTrackTHC  
**DATE:** 4.30.25

**SUMMARY PAGE**

**Department Name:** Department of Administrative and Financial Services  
**Name of RFP Coordinator:** Lisa Roberts  
**Names of Evaluators:** Vernon Malloch, Eric Miller, and Elisa Ellis

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<u>Pass/Fail Criteria</u>	<u>Pass</u>	<u>Fail</u>
Section I. Preliminary Information (Eligibility)		
<ul style="list-style-type: none"><li>Bidder must have a minimum of three (3) years' experience in the development, production deployment, support, and maintenance of an inventory tracking solution.</li></ul>	<b>Pass</b>	
<u>Scoring Sections</u>	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>10</b>	<b>7</b>
Section III. Proposed Services	<b>50</b>	<b>41</b>
Section IV. Cost Proposal	<b>40</b>	<b>15</b>
- Total Cost	<b>30</b>	<b>9</b>
- Additional System Requirements & Desirable Features Costs	<b>10</b>	<b>6</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>63</u></b>



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** BioTrackTHC

**DATE:** 4.30.25

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

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**Evaluation Team Comments:**

- Pass – Ample experience providing seed-to-sale tracking in multiple states/programs.
- No additional Evaluation Team comments

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** BioTrackTHC

**DATE:** 4.30.25

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

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>10</b>	<b>7</b>

**Evaluation Team Comments:**

1. Overview of Organization <ul style="list-style-type: none"><li>Currently operating in 10 states.</li><li>Has a unique perspective working with both industry and regulators: utilized in 2k+ businesses in 30+ states.</li><li>Offers a comprehensive suite of products.</li><li>Includes access to analytics offering, Cannalytics, but without a demo and/or additional documentation, unsure how powerful this analytics tool is.</li><li>State specific customization experience (good to see that they are willing and able to do this).</li></ul>
2. Subcontractors <ul style="list-style-type: none"><li>BioTrack is an already built system that is largely ready to go, reducing the concern about the need for subcontractors.</li><li>Pleased to see they can do all the work with in-house staff.</li><li>Would have liked to have seen details on how they would bring in subs if they were forced to (currently no visibility into this scenario).</li></ul>
3. Organizational Chart <ul style="list-style-type: none"><li>Provided</li><li>Q: Is the chart provided specific to Maine or this the entire team?</li></ul>
4. Litigation <ul style="list-style-type: none"><li>None</li></ul>
5. Financial Viability <ul style="list-style-type: none"><li>Only provided financials through 2022.</li><li>Did not provide financials for years following ownership change, therefore did not fully demonstrate financial viability.</li></ul>
6. Licensure/Certifications <ul style="list-style-type: none"><li>SOC1 Type II, SOC2 Type II, HIPAA and SOC2 Type II Privacy</li></ul>
7. Certificate of Insurance <ul style="list-style-type: none"><li>Provided</li><li>Q: Technical Professional Coverage plans vary widely, and it is unclear what specifically is or is not covered under this policy? (To get more information if selected)</li></ul>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** BioTrackTHC

**DATE:** 4.30.25

8. Prior Contractual Obligations

- Has met all obligations in the last 5 years.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014  
**RFP TITLE:** Cannabis Inventory Tracking System  
**BIDDER:** BioTrackTHC  
**DATE:** 4.30.25

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>50</b>	<b>41</b>

**Evaluation Team Comments:**

**Services to Be Provided** - This proposal was challenging to navigate due to poor organization. Information relevant to specific RFP requirements was scattered across sections or inconsistently labeled, making it difficult for evaluators to verify whether certain criteria had been met.

**A. General Requirements**

- A.1 – A.5 were met.
- Some of the elements pertaining to A.6 are too vague and are not effectively explained; however, bidder says they can satisfy.

**B. Standard Contract Management**

- B.1, 3 and 4 were met
- Not enough information was provided to know if B.2 is performed by the bidder. Will need to verify with bidder if selected.

**C. Training and Support**

- All features requested in this section appear to be met.

**D. System Requirements** (includes assessment of requirements in body of the RFP as well as outlined in Appendix E Business Requirements)

- All features in D.1 (The System Shall) were met.
- Most features for D.2 (Service Levels) were met: D.2.a – d, and g.
- D.2.e was not explicitly mentioned so this should be confirmed with bidder if selected.
- D.2.f export functionality was clearly met; however, the import functionality was not clear.
  - Q: Can the Department use the API for uploads?
- All features in D.3 (Service Availability) were met.
- More clarity is needed from the bidder, if selected, on *how* remedies (D.4) will actually work.
- Most aspects of D.5 (Reports & Reporting) were met; however, for D.5.c, if selected, the bidder will need to confirm their capacity to meet twice a day reporting protocol.
- Section D.6 (Updates & Upgrades) all features except D.6.d were weakly substantiated and therefore will need to be confirmed with the bidder if selected.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** BioTrackTHC

**DATE:** 4.30.25

- D.7 appears to be satisfied based on Appendix E. If selected, bidder will need to provide more information on *how* this will be done.
- D.8 – D.12 were met.
- D.13.a – proposal infers that this can be satisfied, but no evidence was provided.
- D.13.b – Unable to assess the degree to which the BioTrack platform is truly user friendly.
- D.13.c - Proposal does not provide details on *how* this requirement will be satisfied; requires configuration.
- D.13.d was weakly substantiated, although it is assumed this can be provided.
- D.13.e, g, h, k and m were met.
- D.13.f - Proposal lacks sufficient detail on this functionality and lacks clarity regarding database queries and API calls. More details are needed from the bidder if selected.
- D.13.i was met, however the proposal noted that the vendor “does not certify or guarantee the compatibility of any third-party software program with the System.” With over 100 third-party POS systems already approved for use in Maine, the risk of losing existing integrations could create major disruptions for licensees. The proposal did not offer clear assurances on how it would manage or maintain these external system integrations.
- D.13.j was met.
  - Q: Can licensees enter seeds by count?
- Compliance functionality (D.13.l) was weakly demonstrated for (i), partially demonstrated for (ii) and satisfactorily demonstrated for (iii).
  - D.13.l.ii was not fully met because administrative holds were not adequately addressed. As described, administrative holds are only available within the context of product recalls, not as an independent compliance tool. This falls short of the Department’s operational needs, where administrative holds are used to verify compliance and protect public health and safety.
- D.13.l.iii.1 was well demonstrated with robust documentation and appears to be very user friendly.
- Unclear whether all features of API functionality in D.13.n were fully satisfied as the responsive content was spread over multiple sections within the RFP.
  - D.13.n.i clearly demonstrates that data can be communicated to POS including testing and destruction data, but the proposal did not speak to all items listed such as sales location and holds.
  - D.13.n.ii was unclear. Proposal mentions “Real-Time communication,” but it is unclear if that is a bi-directional

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

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**DATE:** 4.30.25

communication which is necessary for the relay of information from SaaS to POS.

- API functionality for manifests was met as it is existing functionality.
- Most mandatory functionality outlined in Section D.14 (Configuration Requirements) exists in off-the-shelf offering, with only three features requiring some degree of configuration.
- D.14.a and b were met; D.14.c requires configuration
- Proposal was not sufficiently clear about batch tagging (FSBT) functionality in D.14.d. Batch tagging of immature plants is existing functionality, but batch tagging of mature plants was not explicitly addressed in this section. Appendix E provided only minimal additional detail, merely stating that the functionality would require configuration. Unclear if “bulk lots” reference on page 9 is meant to be synonymous with batch tagging/group tracking. This mandatory functionality must be confirmed with bidder if selected, including the degree of configuration needed. Will also want more clarity on how/if configurations will impact licensee-generated tags (RFID & non-RFID).
- D.14.e (variety packs) requires customization, but the proposal lacked specifics. Appendix E noted this need but deferred details to post-award design sessions.
- D.14.f, g, i, j and m were met.
- D.14.h was weakly met. The ability to query tables (at row level) was not sufficiently detailed, the data map was not mentioned, and while the data dictionary was mentioned, it was referenced in the Training section. It is unclear whether the content in the Training section is relevant to this requirement. Will need verification from bidder, if selected, that the data dictionary, data map and all base tables will be readily accessible to the Department.
- D.14.k includes three features – (i) met and requires configuration; (ii) not met; and (iii) met.
  - (ii) Sample size is determined by the licensee, not automatically calculated as requested. While Appendix E claims this feature can be configured, the main narrative states that “an employee of the facility will need to indicate how much product should be deducted from any sampled batches (18),” which contradicts the expectation of automatic functionality. These two statements are inconsistent and leave the approach unclear.
- D.14.l - While the BioTrack system supports licensee-generated tags on any medium, which offers flexibility and cost savings for businesses, the functionality requested in the RFP is specific to supporting the Department’s compliance activities, not licensees. The Department’s compliance team relies on RFID-enabled tags to quickly verify inventory. In practice, the absence of RFID-enabled tags (or similar technology)

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** BioTrackTHC

**DATE:** 4.30.25

would reduce the efficiency of the Department's inspectors, who would be forced to manually scan or count each plant or item. This manual process is time-consuming, increases the chance of error, and directly impacts the Department's field operations. Some efficiencies would be realized in facilities that opt-in to using RFID tag, however, the Department will not be able to leverage RFID readers in facilities that do not opt-in.

- D.15 was unclear. Templates are mentioned in relation to product labels and project management tasks (for SaaS implementation), but it's unclear to what degree additional templates or automations for commonly used processes exist.
- D.16 was met; documentation was informative and comprehensive.
- D.17 was partially met. Evidence of robust audit logs was provided but visibility into archiving functionality is unclear.
- D.18 and D.19 were met. The data migration plan includes data verification steps that satisfy this requirement.

**E. Technical Assessment**

- Not-Met Technical Assessment, as submitted.
- If selected, the bidder must:
  - (1) Submit their latest SOC 2 Type 2 report, and the IS POLICY - 03 - RISK ASSESSMENT POLICY (both mentioned in the bidder's submission, but not actually submitted);
  - (2) Said submissions must be vetted by OIT Security Architecture; and
  - (3) Based upon the OIT Security Architecture feedback, conditions/deliverables will be inserted into the contract, such as remediation schedule, compensating controls, etc.

**F. Implementation – Workplan & Training Plan**

- Bidder submitted a detailed workplan that addressed most key areas.
- The timeline was highly granular, potentially limiting adaptability during implementation.
- A detailed data migration plan was included, but the proposed timing may be too rigid and may require more flexibility.
- The data conversion section lacked detail, especially on how structural differences between current and proposed systems (e.g., new or missing data fields) would be handled.
- The customization/configuration plan was mentioned but lacked sufficient specifics.
- All required functionality can be delivered; FSBT requires configuration, and variety packs require customization.
- The training plan was limited to only three in-person days each for Department staff and licensees. This may be inadequate given the number and geographic distribution of licensees.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER:** BioTrackTHC

**DATE:** 4.30.25

- Little information was provided about the virtual training platform, raising concerns about its ability to support both regulators and licensees effectively.
- The train-the-trainer model depends heavily on in-house capacity, which the Evaluation Team questioned due to the scale and complexity of the rollout.

**G. Analytics Reporting**

- Overall, the proposal appears to meet the Department's functional needs. However, it does not provide explicit confirmation that the Department will have direct access to the underlying database tables or the ability to run custom queries against them.
- The proposal includes a substantial library of pre-built reports that will be available and operational on day one.
- It is unclear how much customization is possible with the out-of-the-box reports. For instance, it's not specified whether users can make simple changes (e.g., resizing a chart) as well as more advanced modifications (e.g., adding new data layers or metrics).
- Would have appreciated more details on Cannalytics, BioTracks' built-in analytics tool, as it is not clear what this tool offers beyond the library of pre-built reports.



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014  
**RFP TITLE:** Cannabis Inventory Tracking System  
**BIDDER:** BioTrackTHC  
**DATE:** 4.30.25

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal		Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$75,000</b>		<b>\$250,000</b>	<b>x</b>	<b>30 points</b>	<b>=</b>	<b>9</b>

Additional Desired Features & Requirements (Consensus Evaluation)	Maximum Points	Score
	<b>10</b>	<b>6</b>

Additional System Desired Requirements	Points	Cost	Points Awarded
1. Industry Subscription Fees	<b>2</b>	<b>\$40</b>	<b>.5</b>
2. Tagging Fees	<b>1</b>	<b>\$0.50</b>	<b>.5</b>
a. Plant Tags		<b>\$0.25</b>	
b. Package Tags		<b>\$0.25</b>	
c. Other Tags (please specify)			
3. Additional Non-Tag and Subscription Fees Licensees Incur	<b>1</b>		<b>1</b>
<b>Additional System Desired Functionality</b>			
1. API Functionality for Manifests	<b>1</b>		<b>1</b>
2. Supportive of Radio Frequency Identification (RFID) Tags and Handheld RFID Scanners	<b>1</b>		<b>.25</b>
3. Sandbox Environment	<b>1</b>	<b>\$10,000</b>	<b>0</b>
4. Replicating Database Tables/ Analytics Offerings	<b>1</b>		<b>1</b>
5. Enhanced Testing User Experience (Clearly States the Mandatory Testing Requirements and Sample Size)	<b>1</b>		<b>1</b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

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**DATE:** 4.30.25

6. Custom Development (Per Hour)	1	\$250	.75
<b>Proposed Total Cost:</b>		<b>\$10,250</b>	
<b>Score (10 Points):</b>			<b>6</b>

**Evaluation Team Comments:**

- Points were awarded using a consensus scoring approach for the 10 points available in this section. Those points were awarded based on the value each proposed feature would deliver relative to its cost, whether to the Department or to licensees. Full points were given when features were provided at no cost, while partial or no points were awarded when costs were involved, depending on their impact and overall value.
- The RFP Coordinator clarified with the bidder that the yearly service fee is \$75,000 per year for a total of \$150,000 for the first term of the contract. (Note: clarification was confirmed with a 'yes or no' question over email; no additional materials or narrative was provided.)
- Partial points were awarded for the proposed monthly subscription fee, which matches the current rate paid by licensees. By maintaining the monthly fee amount, the financial impact on licensees is minimized.
- Partial points were awarded for tagging fees, as the proposed rate is lower than what licensees currently pay. Lowering the tagging fees also helps reduce the financial impact on licensees.
- Full points were awarded for additional non-tag and subscription fees as there are none.
- Full points awarded for API Manifests, Data Tables/Analytics Offerings and Enhanced Testing User Experience functionality as they are included at no cost in the base price of the contract.
- Partial points awarded for supporting RFID (or similar) technology and scanners because the proposal mostly addressed a different use case than requested, focusing on licensees and omitting pricing relevant to Department use. Direct Department costs were only addressed in a limited context; indirect costs were not addressed and would be substantial.
- Zero points awarded for Sandbox functionality as it would be an additional cost incurred by the Department.
- Partial points awarded for pricing on Custom Development rate.

**STATE OF MAINE  
TEAM CONSENSUS TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: BioTrack**

**DATE: 3 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

***Not-Met Technical Assessment, as submitted. The Consensus Scoring must reflect that. Nonetheless, should this bidder end up being the top scorer, as part of the contracting process,***  
***(1) The bidder must submit their latest SOC 2 Type 2 report, and the IS POLICY - 03 - RISK ASSESSMENT POLICY (both mentioned in the bidder's submission, but not actually submitted);***  
***(2) Said submissions must be vetted by OIT Security Architecture; and***  
***(3) Based upon the OIT Security Architecture feedback, conditions/deliverables will be inserted into the contract, such as remediation schedule, compensating controls, etc.***

**Data Compliance**

NIST 800-171: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

Maine FOAA: Adequate Response. Missing Evidence.

Maine Breach Notification Law: Adequate Response. Missing Evidence.

NIST 800-53: Rev5: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

Privacy Act of 1974: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

U.S. DHHS-OCSE: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

PCI-DSS: Adequate Response. Missing Evidence.

ACH: Adequate Response. Missing Evidence.

IRS 1075: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

IRS 1075 Contractor Addendum: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

IRS 1075: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

MARS-E 2.0: Adequate Response. It is NOT the bidder's job to question the relevance of the Control

DDPA: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

**MaineIT**

H1: Adequate Response. Adequate Evidence. Mentioned AWS.

H2: Adequate Response. Weak Evidence.

H3: Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: BioTrack**

**DATE: 3 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

A1: Adequate Response. Weak Evidence. Mentioned "Third Party auditors," but did not submit anything.
A2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
A3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
A4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
<b>Information Security Standards</b>
S1: Adequate Response. Missing Evidence. Restated the question.
S2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
S3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
S4: Adequate Response. Weak Evidence. Mentioned "IS POLICY - 03 - RISK ASSESSMENT POLICY," but did not submit anything.
S5: Weak Response. Weak Evidence because of missing versions.
<b>Cloud Service Provider Reqs</b>
CSP1: Adequate Response. Weak Evidence. Did not address the control.
CSP2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.
CSP3: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP4: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP5: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP6: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP7: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP8: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP9: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP10: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.
CSP11: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.

**STATE OF MAINE  
INDIVIDUAL TECHNICAL ASSESSMENT NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: BioTrack**

**DATE: 3 Apr 2025**

**EVALUATOR NAME: B. Victor Chakravarty, Karen Knox, Matthew Keene**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>CSP12: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP13: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP14: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. H1 states hosted on AWS, whereas, N1 states "our facilities." Presuming that it is still AWS, granting the benefit of the doubt, and awarding Adequate Evidence.</i>
<i>N2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N3: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N4: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N5: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N6: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N7: Adequate Response. Unambiguous statement. Granting Adequate Evidence.</i>
<i>N8: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N9: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N10: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N11: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N12: Adequate Response. Weak Evidence. Not only that, how can BioTrack do Media Protection, if it is hosted on AWS?</i>
<i>N13: Adequate Response. Weak Evidence. Mentions "SOC auditing," but did not submit anything.</i>
<i>N14: N/A</i>

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** 04/14/2025

**EVALUATOR NAME:** Elisa Ellis

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*A. Overview of Organization*

- P – experience with other States

*B. Subcontractors*

- N – would like to see a plan for if subcontractors should be needed for unforeseen circumstance.

*C. Organizational Chart*

- Q – will this team work only with Maine or with other States/clients, and if so, how many?

*D. Litigation*

- P

*E. Financial Viability*

- N – 2022 are most current financials provided, so no financials since divested to see performance under new ownership; requirement was three most recent tax years

*F. Licensure/Certification*

- P

*G. Certificate of Insurance*

- Q – tech professional liability policies can vary widely, what coverages included with this policy

*II. Services to be Provided*

*A. General Requirements*

1. Yes
2. Yes
3. Yes
4. Yes
5. Yes
6. Yes

*B. Standard Contract Management*

1. Yes
2. Yes
3. Yes
4. Yes

*C. Training and Support*

1. Yes – N – 3 days for industry does not seem sufficient if doing in-person regional trainings throughout the state
2. Yes
3. Yes
4. Yes
5. Yes

*D. System Requirements*

1. *The System shall:*

- a. Yes
- b. Yes
- c. Yes

2. *Service Levels*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes
- f. Yes
- g. Yes

3. *Service Availability*

- a. Yes – 99.99%

4. *Remedies*

- a. Yes

5. *Records and Reporting*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes

6. *Updates and Upgrades*

- a. Yes
- b. Yes
- c. Yes
- d. Yes
- e. Yes

7. Yes

8. Yes

9. Yes

10. Yes

11. Yes

12. Yes

*13. Interface Requirements*

- a. Yes
- b. Yes
- c. Yes
- d. Yes – assumes can
- e. Yes
- f. Yes
- g. Yes
- h. Yes
- i. Yes
- j. Yes – Q – can user enter seed count for easier MRS audit?
- k. Yes
- l. Yes
- m. Yes
- n. Yes
- o. Yes

*14. Configuration Requirements*

- a. Yes
- b. Yes – Q – there is quite a bit about patient tracking, which would be nice for medical industry if they come on board with tracking, if that were the case, can that information be shut off or de-identified so OCP does not see patient information?
- b. Yes
- c. Yes
- d. Yes
- e. Yes
- f. Yes
- g. Yes
- h. Yes
- i. Yes
- j. Yes
- k. Yes – I – environmental impact of tags vs RFID tags
- l. Yes

15. Yes



16. Yes

17. Yes

18. Yes

*Other:*

From Business & Technical Requirements (Appendix E)

P – all mandatory requirements included or available with configuration

P – all desired functionality included or available with configuration

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*1. Overview of Organization*

- One of the bigger players in this space, I do trust their ability to execute.

*2. Subcontractors*

- No issue, good to see that they would not plan to bring on sub-contractors that could hold up progress.

*3. Organizational Chart*

- Again, no issue. Because BioTrack already has a platform, their emphasis on non-technical staff makes sense. Good to see a dedicated training staff member.

*4. Litigation*

- No comment, good to see no litigation.

*5. Financial Viability*

- Not a deal-breaker by any means, but BioTrack being traded around by public holding companies and PE firms does make me slightly nervous about their future – what would another acquirer want to do with the line of business, for example?
- On the other hand, being backed by a large PE firm does have its benefits in that it has access to world-class management resources and financing.

*6. Licensure/Certification*

- No comment.

*7. Certificate of Insurance*

- No comment.

*II. Proposed Services*

*1. Services to be Provided*

- I'm not a huge fan of them using "each" and "weight" units separately and keeping all products in what appears to be the same table. From a new platform, I would expect to see something a bit more clever (e.g. different tables for each product type that encode unique information and enforce different automations/rules).

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

- No provision for supply of first-party RFID tags, just a “unique” identifier – this is a major detractor from this proposal in my eyes. It *does* mention that licensees are able to print their *own* RFID tags for their own business use, but this doesn’t assuage my concerns because it does not help our own compliance staff. This would add substantial time to our compliance investigators’ already heavy workloads on-site for inspections – not only hurting the effectiveness of our own office, but also adding an undue time burden to licensees who must accompany inspectors onsite. On the other hand, it *would* force them to hand-scan every single plant, which in and of itself ensure at minimum just as thorough of an inspection count. I do also understand and at some level identify with their argument that RFID tags are environmentally wasteful and reduce licensee choice (although I’m not a fan of the apparent attempt to conflate this with “consumer choice” – licensees are using these tags to maintain compliance, not make a consumer choice).
- The testing section is *pretty* spartan, and does not specifically call out the concepts of batch testing or production batches, even using a different nomenclature. This would be a major departure from today’s functionality in the negative direction, as how Maine’s cannabis regulation statute is set up we would absolutely *have* to have this functionality. I’d want to see additional clarity from the BioTrack team on this, either evidence that it does exist and just isn’t mentioned or their plan to build it in time and at no additional cost.
- The recall functionality section is, compared to all the other sections on actual functionality, quite vague and lacks sufficient detail to back up their assertion that it’s fully-featured (specifically looking for how this works in the UI, how it distributes the recall to licensees’ accounts, how we can set it up with different settings, etc). While it may and probably does have answers to these questions, I do not see them here. Furthermore, while it’s good to see that it *was* used for a real-world recall, said recall was mentioned to have happened over 10 years ago in 2014.
- The “reporting” section also lacks specificity around exactly how this would look, if we can export data/can this be automated, and more. And while I appreciate the pre-stocked reports mentioned in their bulleted list, I also recognize that this would not be enough,

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

and that they would have to take their promise to “work with the OCP” to develop what we needed pretty seriously.

- Lack of detail on hosting, but no big red flags. I trust AWS, and PostgreSQL is a modern open-source technology with an extremely active and responsive community used by many of the biggest folks in town (who have much more advanced use-cases than cannabis regulation). The 99.99% uptime promise is... unrealistic (that’s ~50 minutes of downtime in a given year, something I **highly doubt** AWS NE can back up/deliver on). Maybe that’s just isolated naivete on their end, but it also worries me as it could be indicative of naivete elsewhere in their proposal security and hosting-wise. If the *can* deliver on this though, I’d be highly impressed (again, not a big red flag, just something to note).

2. *Implementation – Work Plan*

- *Data Migration plan*

1. I’m generally pretty happy with this at face-value (caveats to this below). They take care to mention that this would be a “service” provided to the OCP, meaning that the OCP data team’s time would be minimally impacted – and they rigorously lay out exactly how they would do it step by step. If anything, I would have looked for *more* involvement from the OCP notated here – in practice we’ll need to be more tightly integrated than they appear to expect, at least on a planning and project management basis. The project management plan largely envisions us as “reviewers” of this, not planners.
  2. List of POS systems that fully integrate with BioTrack at this time is pretty limited, and hence a substantial number of licensees would need hands-on help transitioning. This I think we would want BioTrack to enable this, and take on the mantle of responsibility of ensuring our licensees experience the minimum amount of friction possible through a transition.
  3. This data conversion plan to me does not adequately address how they plan to tackle any *structural* difference in how data is converted – e.g. if new fields are being tracked how to mesh this with our existing data or vice versa.
- *Plan for meeting all mandatory functions, especially those that require configuration or customization*

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** 4/29/2025

**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

1. Of the ones not mentioned by BioTrack but noticed by me were batch testing (unclear), more rigorous first-party training (unclear), and ability to integrate with other platforms specifically our licensing platform (unclear). We would need plans for all of these, as all are must-haves for any contracted solution. Particularly egregious, at least for my team, would be the lack of robust analytics functionality (see below).
2. Not strictly something that belongs in this section, but the project plan on pages 70-74 is **WAY** too specific – if they had mentioned this as an “example” I would understand, but there is no way these dates remain viable given the inevitability of wrenches and unforeseen obstacles. I
  - *Detailed training plan*
    1. General “train the trainer” approach is not what we would like to see, as there’s tremendous value in robust first-party training resources for licensees. I am happy to see that they have online resources and that they would make *some* time to train licensees (3 hours it looks like), but the spirit of the arrangement would not be ideal.
    2. I want to call out that I’m happy to see formal designation of L1/2/3 support laid out in the proposal.
3. *Analytics Reporting*
  - This section in general is very lacking. In my opinion there’s a lot of word salad around what good analytics looks like and promises to fulfill, and then as previously mentioned in my note a short list of basic reports (it says there are dozens of other reports, but these are not elaborated on). There is also what appears to be a first-party dashboard that has manual exports. What this *lacks* is:
    1. Ability to create pipelines to any of our own data analytics tools.
    2. Ability to create custom reports.
    3. Process for working with BioTrack to develop custom analytics.
    4. Integration with third-party analytics tools (e.g. Power BI or Tableau), either via API or a first-party one.
  - The requirement of “needs configuration” for a connection to the OCP database to me is pretty vague (e.g. no specific technology used is specified).

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

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**EVALUATOR NAME:** Eric Miller

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

- In general, I would say there is not really enough meat on the bones here for me to feel comfortable with the level of analytics functionality available to us.

4. *Technical Assessment (Appendix D) – reference notes from Technical Assessment Team*

- Would of course leave most of this to MaineIT, but the almost universal trend here is that BioTrack claims something, but provides weak/minimal evidence for said claim. Other than mandatory integrations (licensing platform) though, if we take them at face-value I'd be inclined to say this is satisfactory from a technical perspective.

5. *Business & Technical Requirements (Appendix E)*

- Several specific deficiencies listed in various sections above. The only additional one to add is that this proposal does not address variety packs, unclear how their platform could possibly accommodate.

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** April 16, 2025

**EVALUATOR NAME:** Vernon Malloch

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

\*\*\*\*\*

**Individual Evaluator Comments:**

*I. Organization Qualifications and Experience*

*1. Overview of Organization*

- In 10 states – works on industry side too (2000 facilities in 37 states)
- “comprehensive suite of products, encompassing Business Licensing, Patient Registry, Payment Processing, Product Approval, Seed-to-Sale Tracking, a Commercial Seed-to-Sale Tracking System, and the powerful analytics tool, Cannalytics.”
- Talks of customization in FL, CT, NY

*2. Subcontractors*

- None will be used; file 2 page 3

*3. Organizational Chart*

- Provided in File 2 pages 4-6

*4. Litigation*

- None in the past 5 years File 2 page 7

*5. Financial Viability*

- Information is pending per File 2 page 8

*6. Licensure/Certification*

- *Provided in File 2. I will defer to Maine OIT*

*7. Certificate of Insurance*

- *Provided in File 2 Page 27. I will leave this to Procurement to determine if it meets SOM requirements*

*II. Proposed Services*

*1. Services to be Provided*

- *See my notes on attached document*

*2. Implementation – Work Plan*

- *Data Migration plan*

*1. Data Conversion plan is part of File 3 beginning on page 64*

*2. It is covered in detail, but Maine OIT should review*

*3. Assume this is migration of our existing tracking data (Metrc) not just ALMS licensing data*

- *Plan for meeting all mandatory functions, especially those that require configuration or customization*

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** April 16, 2025

**EVALUATOR NAME:** Vernon Malloch

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

1. Implementation work plan included in File 3 starts on page 59
2. Preliminary PM Plan pages 59 and 60
3. Timeline is proposed on page 70
4. Overall seems very detailed
- *Detailed training plan*
  1. *File 3 page 48*
  2. *Includes for both OCP staff and Industry*
  3. *Online and on-site three days – at OCP's discretion*
  4. *Annual onsite sessions*
  5. *Monthly webinars*
  6. *Attendance is monitored (enrollment and completion)*
  7. *Training outline is provided in File 3*
3. *Analytics Reporting*
  - *Page 81 of File 3*
  - *Details provided about Cannalytics Explorer, a built-in analytics tool with pre-built reports/dashboards*
  - *Experience creating new reports on the fly to help clients furnish information to oversight authorities*
  - *Seem strong in this area*
4. *Technical Assessment (Appendix D) – reference notes from Technical Assessment Team*
5. *Business & Technical Requirements (Appendix E)*

Proposal Page	Notes	RFP Requirement
<b>Biotrack</b>  Page 4	In 10 states – works on industry side too (2000 facilities in 37 states); comprehensive suite of products; Talks of customization in FL, CT, NY	
Pages 6/7	600 data points tracked; more can be customized. Some are listed	Maintain a detailed record at every stage from immature cannabis plant to the point of retail sale, return, disposal, or destruction
Pages 8/9/15	No preprinted tags. System generates unique 16 digit identifier for plants and products. Child and parent identifiers allow forward and	Supports the identification, tracking, and tracing of medical and adult use cannabis in all its forms for the purposes of inventory, enforcement, investigation, and diversion prevention



**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202501014

**RFP TITLE:** Cannabis Inventory Tracking System

**BIDDER NAME:** BioTrack

**DATE:** April 16, 2025

**EVALUATOR NAME:** Vernon Malloch

**EVALUATOR DEPARTMENT:** Department of Administrative and Financial Services

	backward tracing. Tags/labels printed by licensee can accommodate barcodes and RFID and Bluetooth. Down on RFID in general due to waste and expense. PG 15 wet/dry weight reports with ratios (inversion and diversion)	
	Unclear – need to review pricing	Collect all industry fees and meet all related State and Federal reporting requirements related to fees
		Participate in weekly meetings with the Department to ensure compliance with contract requirements and OCP business rules
		Provide open channels for feedback from the Department and regulated industry users
Pages 48/49	Initial 3 days onsite and 3 days for OCP staff. Monthly webinars and annual onsite for licensees.	Provide all training, including documentation and execution, including in-house Department training and regional in-person industry training, on an ongoing basis
	Unclear. Custom reports are referenced in several area but not a bank of hours for development	A bank of Custom Development support hours to be made available when needed for ad-hoc requests from the Department, regulated industry members or legislature
Page 46	As required per the OCP, BioTrack will maintain support hours between 7:00 AM to 9:00 PM ET, 7 days a week. In emergencies outside business hours, Department Stakeholders and the Project Manager have 24/7 direct access to BioTrack personnel (Missing regulated members)	24-hour support of the SaaS to the Dept and regulated members and entities
Page 5	Yes	System availability 24/7

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Page 56	Yes – designed API with scalability and performance in mind.	Provide scalability and extensibility to accommodate any newly required Administrative, Executive, Legislative, Judicial mandates, or other intergovernmental mandates
Page 45	99.99% claim/7 days' notice to OCP of scheduled maintenance/done overnight (2300-0600 central)	Service levels / Planned outages limit 1 per month. 5 second response time to data lookups. 99.95% uptime
Page 44	Updates are pushed to the System on an as needed basis and vary depending on factors such as changes in legislation that require new functionality, third party integrations, security updates, deficiencies, etc (Unclear about cost)	Updates and upgrades available to the Department at no additional cost when the awarded Bidder makes such updates and upgrades generally available to its users
Page 6/7	Yes – bottom of page 6 has details	Retain records of date, time, quantity, price, and any other information, as determined by the Department, of each sale or transfer of cannabis seeds, cannabis plants, cannabis and cannabis products in all forms.
Pages 36/37	50 pre-configured reports designed for regulators plus 100+ other reports that could be adapted	Allow for the creation of both standard and ad-hoc reports that provide the Department with analytics, including without limitation, total daily sales, total plants in production, total plants destroyed, total inventory adjustments, and package trace reporting. All reports must be available at the individual business level as well as provide industry-wide point-in-time metrics. Reports can be exported to Excel, CSV, TXT, Word or PDF formats.
?	Not observed in the proposal	Provide verification (via data uploaded via the OCP licensing system interface) that the industry member's Department-issued credentials are valid, current and have not been suspended, revoked, or denied

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?	Unknown how user friendly this will be – need a system demo to properly evaluate this aspect	Provide for a user-friendly administrative interface that makes enforcement of State policies as efficient as possible while not overburdening the regulated cannabis industry
?	Not clear	Provide a working interface with OCP's data analysis database
Page 52	Yes	Provide a working interface with ALMS
Page 52	Yes	Provide a working interface for database queries, and via batch downloads, and API calls with the Department's data analytics database
Throughout	Yes – Mentions Bio-Track access portal throughout the proposal	Have an interface portal to provide access to all potential external users
Page 5	Yes – under “system interfaces section”	Permit users to submit all required tracking data through manual data entry
Page 52 Page 55	Lists 16 vendors with API – all the big ones seem to be there.	Permit users to submit all required tracking data through the use of software that connects to the tracking system maintained by the office through an API, including without limitation point-of-sale system software
?	Unclear – grams is mentioned and units of measure vs weight. I am okay if it requires metric system weights	Data must be able to be conveyed in US Customary and Metric units
	Yes	Provide the ability for the regulated cannabis industry to enter all transactions, current inventory and other required information, as determined by the Department pertaining to the cultivation, processing, transfer, retail, testing and destruction and disposal of cannabis and cannabis products in all forms.
Page 8	Yes	Robust compliance related functionality Easily locate inventory and audit lifecycle trails

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		Easily initiate recalls, holds and quarantines Automatically identify and “flag” abnormal transactions, products, or activities based on tolerance levels set by OCP
Throughout	Yes, throughout document alerts and custom notifications are referenced	Must include the following regulatory features: alert notifications, including automatically generated system-based notifications through a mutually agreed to format to designated users in the event of irregular cannabis supply chain activities, account setup, room/product setup, off-premises sale location setup, and edits, permissions, and log of data changes.
Page 37	Yes	Robust ad-hoc and pre-defined reporting functionality for OCP to determine compliance with Maine statutes and rules
Page 20	Yes	Be able to communicate with testing facilities, either directly with their LIMS or with alternative third-party software, chosen by the testing facility, for the purpose of simplifying and automating data transfers
Page 20	Yes See above	Ability to record all mandatory testing samples submitted, including matrix, date submitted, and weight; and testing results, including matrix, date submitted, weight, test, analyte, concentration, units, and pass/fail status.
Page 5	Yes – not sure about the cost to industry  Yes - Delivery tracking Not clear on Off-site sales or specified events  Product recalls – yes, not clear about admin holds	Robust API, at no-cost to industry and third-party software vendors, to communicate with third party integrators, including point-of-sale systems to mitigate manual data entry and convey public health and safety information, including without limitation: The ability to record retail sales including the ability to differentiate

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Page 29  Page 31		between sales conducted in-store, by delivery, and at specified events: Returns; Destruction; Tracking all phases of plant growth. The ability to transmit real time information to third party integrators about cannabis and/or cannabis products that are placed on administrative hold and/or subject to a product recall.
Page 25	Unk – seems like no – because actually references doing manually data entry by the originating facility.	Provide API functionality for manifests
Page 62	Seems like yes	Be configurable to account for differences in business rules and user interface fields among regulated cannabis industry participants
		Provide for the tracking and tracing of cannabis and cannabis products upon transfer and transportation, including information about the entities transferring and receiving cannabis inventory, as well as transfer date, quantity, price, and other required information, as determined by the Department.
Page 6	Yes – for each plant. Not clear they can do batch tracking of plants by group.	Provide a unique, non-repeating identification number for every plant or, as applicable, every group of plants and inventory item recorded in the System for both individual plants and batches of cannabis plants of the same varietal or cultivar in the same stage of growth
	Not found in the proposal	Allow for the creation of “variety packs” of the same kind of cannabis item, into one package for retail sale. Ensure the individual inventory tracking and testing history for each flavor or cultivar combined into one variety pack is preserved and can be accessed

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		through the regulator's interface to facilitate recalls and compliance activities. Functionality shall assign to the entire variety pack package one unique inventory tracking number.
Page 24	Yes, in the Transportation and Distribution section	Allow for the entry of routes and trip tickets of secure transporters
Page 48	Training Plan – include Data Dictionary Not sure about data map  Question for ME OIT	Provide regulators with access to data stored in the system, including use of a data map, and data dictionary upon request. The System must also provide regulators with access to all pertinent tables necessary to execute policy and compliance queries.
Page 40	Role based user access is provided	Only give the industry access to the information in the system that they are required to access through role-based permissions

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**BIDDER NAME: BioTrack**

**DATE: 19 Mar 2025**

**EVALUATOR NAME: B. Victor Chakravarty**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Met/Not-Met Technical Assessment (<i>ONLY for Consensus, NOT for Individual</i>)</b>
<b>Data Compliance</b>
NIST 800-171: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
Maine FOAA: <i>Adequate Response. Missing Evidence.</i>
Maine Breach Notification Law: <i>Adequate Response. Missing Evidence.</i>
NIST 800-53: Rev5: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
Privacy Act of 1974: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
U.S. DHHS-OCSE: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
PCI-DSS: <i>Adequate Response. Missing Evidence.</i>
ACH: <i>Adequate Response. Missing Evidence.</i>
IRS 1075: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
IRS 1075 Contractor Addendum: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
IRS 1075: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
MARS-E 2.0: <i>It is NOT the bidder's job to question the relevance of the Control</i>
DDPA: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
<b>MaineIT</b>
H1: <i>Adequate Response. Weak Evidence. Mentioned AWS.</i>
H2: <i>Adequate Response. Weak Evidence.</i>
H3: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
A1: <i>Adequate Response. Weak Evidence. Mentioned "Third Party auditors," but did not submit anything.</i>
A2: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A3: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A4: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<b>Information Security Standards</b>
S1: <i>Adequate Response. Weak Evidence.</i>

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**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>S2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S4: Adequate Response. Weak Evidence. Mentioned "IS POLICY - 03 - RISK ASSESSMENT POLICY," but did not submit anything.</i>
<i>S5: Adequate Response. Strong Evidence. Unambiguous statement.</i>
<b>Cloud Service Provider Reqs</b>
<i>CSP1: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP3: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP4: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP5: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP6: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP7: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP8: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP9: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP10: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP11: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP12: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP13: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP14: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. H1 states hosted on AWS, whereas, N1 states "our facilities." Presuming that it is still AWS, granting the benefit of the doubt, and awarding Adequate Evidence.</i>



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**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>N2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N3: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N4: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N5: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N6: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N7: Adequate Response. Unambiguous statement. Granting Adequate Evidence.</i>
<i>N8: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N9: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N10: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N11: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N12: Adequate Response. Weak Evidence. Not only that, how can BioTrack do Media Protection, if it is hosted on AWS?</i>
<i>N13: Adequate Response. Weak Evidence. Mentions "SOC auditing," but did not submit anything.</i>
<i>N14: N/A</i>

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**BIDDER NAME: Bio Track**

**DATE: 26 Mar 2025**

**EVALUATOR NAME: Karen Knox**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<b>Met/Not-Met Technical Assessment (<i>ONLY for Consensus, NOT for Individual</i>)</b>
<b>Data Compliance</b>
NIST 800-171: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately.</i>
Maine FOAA: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately. Did they look at the Maine FOAA?</i>
Maine Breach Notification Law: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately. Did they look at the Maine Law?</i>
NIST 800-53: Rev5: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately.</i>
Privacy Act of 1974: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately.</i>
U.S. DHHS-OCSE: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately.</i>
PCI-DSS: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? 3<sup>rd</sup> party.</i>
ACH: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? 3<sup>rd</sup> party.</i>
IRS 1075: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately.</i>
IRS 1075: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately.</i>
IRS 1075: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually, didn't respond to each item separately.</i>
MARS-E 2.0: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? MARS-E 2.0 does not apply.</i>
DDPA: <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? Verified annually.</i>
<b>MaineIT</b>
H1: AWS. <i>Quality of Response? Good Quality of Evidence? Good Any additional comment? FedRAMP compliant, hosting procedure used as a control (not sure what this is)</i>
H2: <i>Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Daily and Monthly restore</i>

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**EVALUATOR NAME: Karen Knox**

**EVALUATOR DEPARTMENT: DAFS-OIT**

H3: SOC2 policies, Quality of Response? Good Quality of Evidence? Very Good Any additional comment? Additional policies for change requests, incident management, problem management, service desk
A1: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Daily backups, DR validated annually by 3 <sup>rd</sup> party
A2: Quality of Response? Good Quality of Evidence? Fair Any additional comment? Will provide as requested
A3: Quality of Response? Good Quality of Evidence? Good Any additional comment? Will use SLA
A4: Quality of Response? Good Quality of Evidence? Good Any additional comment? Agrees with statement
<b>Information Security Standards</b>
S1: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? Indicates plan in place that complies, no further evidence
S2: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? Restated the question
S3: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? Restated the question
S4: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Attached file IS Policy-03-Risk Assessment Policy. Where is this?
S5: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? PostgreSQL; Apache Web Server; AWS, Cloudwatch, BitBucket, Jira, Lacework, Linux, Python, ScaleFT, Xymon, Qualys, Redis, Perl, GoLang, JavaScript, Office 365, Google Worksuite, GoogleMaps API. Not sure if this is what the question is looking for.
<b>Cloud Service Provider Regs</b>
CSP1: Quality of Response? Very Good Quality of Evidence? Good Any additional comment?
CSP2: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? Complies with all, Implemented for several state contracts
CSP3: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3 <sup>rd</sup> party audited to support compliance
CSP4: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3 <sup>rd</sup> party audited to support compliance
CSP5: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3 <sup>rd</sup> party audited to support compliance
CSP6: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3 <sup>rd</sup> party audited to support compliance

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**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>CSP7: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<i>CSP8: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<i>CSP9: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<i>CSP10: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<i>CSP11: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<i>CSP12: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<i>CSP13: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<i>CSP14: Quality of Response? Fair Quality of Evidence? Fair Any additional comment? 3<sup>rd</sup> party audited to support compliance</i>
<b>NIST Reqs</b>
<i>N1: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? physical and environmental controls</i>
<i>N2: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? regular training on policies and procedures, security awareness campaigns</i>
<i>N3: Quality of Response? Good Quality of Evidence? Good Any additional comment? Planning processes in place</i>
<i>N4: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Provided detail regular internal audits, take corrective action as needed</i>
<i>N5: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? rigorous personnel security in line with SOC, HIPPA, NIST</i>
<i>N6: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? BCP and DRP with process and procedures</i>
<i>N7: Quality of Response? Very Good Quality of Evidence? Good Any additional comment? Employees receive training and held accountable</i>
<i>N8: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? understand difference between them, NIST Special Publication 800-63</i>
<i>N9: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? Incident response plan in place</i>

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**EVALUATOR NAME: Karen Knox**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>N10: Quality of Response? Very Good Quality of Evidence? Very Good Any additional comment? identified what the controls are but not how they meet them other than NIST Special Publication 800-63</i>
<i>N11: Quality of Response? Good Quality of Evidence? Good Any additional comment? No specifics on how often they updated and patch</i>
<i>N12: Quality of Response? Good Quality of Evidence? Fair Any additional comment? They use Media Protection safeguards</i>
<i>N13: Quality of Response? Good Quality of Evidence? Fair Any additional comment? Has policies in place, regular testing and SOC audits</i>
<i>N14: N/A</i>

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**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**  
**BIDDER NAME: BioTRACK**  
**DATE: 3 APR 2025**  
**EVALUATOR NAME: MATTHEW KEENE**  
**EVALUATOR DEPARTMENT: DAFS-OIT**

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**Individual Evaluator Comments:**

<b>Data Compliance</b>
NIST 800-171: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
Maine FOAA: <i>Adequate Response. Missing Evidence.</i>
Maine Breach Notification Law: <i>Adequate Response. Missing Evidence.</i>
NIST 800-53: Rev5: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
Privacy Act of 1974: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
U.S. DHHS-OCSE: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
PCI-DSS: <i>Adequate Response. Missing Evidence.</i>
ACH: <i>Adequate Response. Missing Evidence.</i>
IRS 1075: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
IRS 1075 Contractor Addendum: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
IRS 1075: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
MARS-E 2.0: <i>Adequate Response. It is NOT the bidder's job to question the relevance of the Control</i>
DDPA: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
<b>MaineIT</b>
H1: <i>Adequate Response. Adequate Evidence. Mentioned AWS.</i>
H2: <i>Adequate Response. Weak Evidence.</i>
H3: <i>Adequate Response. Weak Evidence. Mentioned SOC audit, but did not submit it.</i>
A1: <i>Adequate Response. Weak Evidence. Mentioned "Third Party auditors," but did not submit anything.</i>
A2: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
A3: <i>Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>

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**DATE: 3 APR 2025**

**EVALUATOR NAME: MATTHEW KEENE**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>A4: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<b>Information Security Standards</b>
<i>S1: Adequate Response. Missing Evidence. Restated the question.</i>
<i>S2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S3: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>S4: Adequate Response. Weak Evidence. Mentioned "IS POLICY - 03 - RISK ASSESSMENT POLICY," but did not submit anything.</i>
<i>S5: Weak Response. Weak Evidence because of missing versions.</i>
<b>Cloud Service Provider Reqs</b>
<i>CSP1: Adequate Response. Weak Evidence. Did not address the control.</i>
<i>CSP2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>CSP3: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP4: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP5: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP6: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP7: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP8: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP9: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP10: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP11: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP12: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<i>CSP13: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>



**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #: 202501014**

**RFP TITLE: DAFS-OCF CANNABIS TRACKING RFP**

**BIDDER NAME: BioTRACK**

**DATE: 3 APR 2025**

**EVALUATOR NAME: MATTHEW KEENE**

**EVALUATOR DEPARTMENT: DAFS-OIT**

<i>CSP14: Adequate Response. Weak Evidence. Mentioned "Third Party audited policy," but did not submit anything.</i>
<b>NIST Reqs</b>
<i>N1: Adequate Response. H1 states hosted on AWS, whereas, N1 states "our facilities." Presuming that it is still AWS, granting the benefit of the doubt, and awarding Adequate Evidence.</i>
<i>N2: Adequate Response. Unambiguous statement. Counts toward Adequate Evidence.</i>
<i>N3: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N4: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N5: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N6: Adequate Response. Weak Evidence. Mentions all kinds of other-party audit/compliance reports, but did not submit anything.</i>
<i>N7: Adequate Response. Unambiguous statement. Granting Adequate Evidence.</i>
<i>N8: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N9: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N10: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N11: Adequate Response. Weak Evidence. Vague statement.</i>
<i>N12: Adequate Response. Weak Evidence. Not only that, how can BioTrack do Media Protection, if it is hosted on AWS?</i>
<i>N13: Adequate Response. Weak Evidence. Mentions "SOC auditing," but did not submit anything.</i>
<i>N14: N/A</i>