

## **REQUEST FOR PROPOSALS**

### **Electronic Transfer of Civil Commitment Medical Records**

#### **I. REQUEST FOR PROPOSALS**

- A. **Defined.** The State of Minnesota – State Court Administrator’s Office (STATE or SCAO) is using a competitive selection process (referred to herein as the “Request for Proposals” or “RFP”) to select the vendor responsible for creation of a secure FTP or Managed File Transfer platform that will act as a web-based document management system with a HIPAA-compliant interface and transfer, group permissions, and audit trail. This solution would be immediately implemented in the Second (Ramsey County) and Fourth Judicial Districts (Hennepin County), with potential to be expanded to all districts of the Minnesota Judicial Branch (MJB). This is not a bid, but a Request for Proposals that could become the basis for negotiations leading to a contract with a vendor to provide the tool and services described in this document.
- B. **Right to Cancel.** The state is not obligated to respond to any proposal submitted, nor is it legally bound in any manner whatsoever by the submission of a proposal. The state reserves the right to cancel or withdraw the request for proposals at any time if it is considered to be in its best interest. In the event the request for proposals is cancelled or withdrawn for any reason, the state shall not have any liability to any proposer for any costs or expenses incurred in conjunction with this request for proposals or otherwise. The state also reserves the right to reject any or all proposals, or parts of proposals, to waive any informalities therein, and to extend proposal due dates.

#### **II. PROJECT OVERVIEW**

- A. **Minnesota Judicial Branch (MJB).** The MJB has 10 judicial districts with 289 district court judgeships, 19 Court of Appeals judges, and seven Supreme Court justices. The MJB is governed by the Judicial Council, which is chaired by Lorie S. Gildea, Chief Justice of the Minnesota Supreme Court. MJB is mandated by the Minnesota Constitution to resolve disputes promptly and without delay. In 2013, there were more than 1.4 million cases filed in district courts in Minnesota. For more information please visit [www.mncourts.gov](http://www.mncourts.gov).
- B. **State Court Administrator’s Office.** The mission of the State Court Administrator’s Office (SCAO) is to provide leadership and direction for the effective operations of the MJB through support of the Judicial Council, oversight of all SCAO divisions, and coordination of legislative relations, ensuring the provision of sound legal advice, and monitoring branch financial practices through the use of regular internal audits.

The State Court Administrator plans for statewide Judicial Branch needs, develops and promotes statewide administrative practices and procedures, oversees the operation of statewide court programs and strategic initiatives, and serves as a liaison with other branches of government.

**C. Background.**

The civil commitment process begins with a request to file a petition for commitment normally initiated by the County Attorney. Once a petition is filed for the commitment of a patient, an attorney is selected from a pre-appointed panel to represent the patient throughout the commitment process. This attorney is an advocate for the patient's interests.

Unless the case is settled, the court process consists of three statutorily required hearings: a preliminary hearing; a mental health examination conducted by licensed professionals (normally chosen from a limited pool of experts in the area); and a full judicial hearing..

Critical to the case are the medical records submitted by medical provider(s). The County Attorney, Patient Attorney, and both Examiners need access to these records to conduct the hearings and to ultimately present the case to the judge. Based on all of the evidence presented (including medical records obtained from the medical providers), Commitment Court determines both whether to commit a person and what level of treatment is needed for the person.

Minnesota law requires the court to ensure that these medical records are available for the required parties to view and use.

Currently, the Second and Fourth Judicial District Commitment Courts collect medical records in paper form from medical providers (often via courier) and store these records in a locked room. Access to the records is granted by court administration staff to the County Attorneys, Patients' Attorneys, and court appointed Examiners assigned to the case. This results in voluminous paper records storage and inconvenient and expensive transmittal requirements. Upon completion of the case, the records are shredded.

The Court has had extensive discussions with medical providers, County Attorneys, Patients' Attorneys, and court appointed Examiners. All parties agree that the court should transition to electronic upload and transmittal by the medical provider with secure electronic access and use by the County Attorneys, Patients' Attorneys, and court appointed Examiners. The Second and Fourth Judicial districts have worked with Computer Integration Technologies, Inc. (CIT) to gather requirements from providers and consumers of the medical records. These requirements are outlined in the project requirements section of this document.

### **III. PROJECT GOAL**

- A. Create and utilize a secure FTP or managed file transfer that allows a set of folders created on the server to be used to store and organize medical records. The “electronic medical record system” must have a way to add, modify, or delete users who will be accessing the medical records. Users must be able to access the system via a HIPAA-compliant web-based portal. The web-based portal should be customizable, and authentication should be enforced with the use of HTTPS connections with passwords and SSL certificates. Data transmissions must use SSL/TLS encryption. Administration of users and record access will be done by court administration staff.

### **IV. PROJECT REQUIREMENTS**

Summarized Business Requirements (detailed business requirements on Appendix C):

- Users are on many different computer networks and software platforms, yet the system must be easy to make available and support.
- Medical providers must be able to maintain a HIPAA-compliant records transfer process.
- Medical record PDF documents may be large, up to 150MB or greater; the system must accommodate this.
- The system must be easy to use, not cumbersome, for a wide variety of users
- Court administration will assume minimal manual processing/distribution of medical records.
- Consumers will have remote access to medical records.
- The medical record PDF files can be viewed directly on the portal using a web browser.
- Medical records storage on local computers should be optional, not required.
- Last minute requests for medical records must be accommodated.
- The system will allow automatic removal of medical records after specified time period (currently 30 days).
- Audit Trail will be available.
- User permissions by folder/case will be allowed.

#### **A. Essential Requirements.**

- The process of transferring medical records must be secure\HIPAA compliant.
- Given the confidential nature, once received, the security of medical records while stored must be ensured.
- Medical records stored in the system should be unavailable or encrypted and unreadable to software support staff. Per court rule medical records may not be disclosed to anyone other than those listed in the rule unless there is court authorization or signed consent by the respondent.
- Each case folder may receive files from multiple providers.
- Providers will deliver a single file per case folder.

- Updated files should be able to be delivered for a case folder.
- The system must accept uploads of PDF documents, with the ability to limit uploads of other file types.
- Attorneys and court appointed examiners will have remote access to records.
- The system will have high availability. A system outage would cause critical inconvenience to the court.
- Records shall be available for 30-days (in a repository-type system).
- Users must accept a digital agreement/disclaimer before downloading or receiving files; security requirements such as hard drive encryption will be presented.
- Medical records are secure and confidential. Permissions must be designed accordingly.
- Permissions will be provisioned at the folder and subfolder level.
- Permission requests are to be submitted through the system.
- An audit trail will be used to capture name/ID, date/time, and actions of medical record activity.
- Records must be able to be viewed via tablet or computer (PC or Mac)
- Medical records need to be exported / copied by attorneys and court appointed examiners for case preparation and for long-term use and storage.
- Documents submitted will retain annotations, bookmarks, searchability, etc.
- Records will be available to multiple users simultaneously.

**B. Desirable Requirements.**

- An automated process will be possible to deliver/secure/provision documents to pre-defined individuals.
- Individual users can request automatic email updates when medical records/updates are received.
- Users should be able to print all or a selection of pages without exporting the file.
- The system will allow users to search for a specific file name while in the web-based portal.

**C. Project Pricing and Cost**

The Second and Fourth Judicial Districts, along with SCAO are seeking responses that clearly define pricing and cost for this project and recommendations on a premise solution, hosted solution, customized, or non-customized software. Bids on one, all, or any combination thereof will be considered. The response should break out costs by component, including a not to exceed amount, for setup and architecture.

If bidding on customization, [Appendix C](#) provides detailed business requirements. See [Appendix A](#) for MJB System Requirements.

1. Secure FTP or Managed File Transfer software:
  - Vendor supplies software that meets all technical requirements. Court customizes web-based portal, builds the folder structure, and establishes the user permission groups.
    - a. Premise Based – Court supplies webserver and hardware infrastructure.

- b. Hosted – Vendor supplies a HIPAA-compliant cloud-based file storage solution and pricing models.
  2. Custom Secure FTP or Managed File Transfer software:  
The electronic medical record system will be designed by the vendor, in conjunction with Subject Matter Experts (SMEs) from the district courts, to meet all of the business and technical requirements. Any added features will be discussed and potentially implemented.
    - a. Premise Based – Court supplies webserver and hardware infrastructure.
    - b. Hosted – Vendor supplies a HIPAA-compliant cloud-based file storage solution and pricing models.

## V. PROJECT DELIVERABLES

- A. Dependent on the submitted proposals, this may include, but is not limited to:
  - Project plan, including milestones, communication plan, issues list, weekly status reports as determined in consultation with project leadership.
  - On site, written or web-based training for content contributors.
  - Development of service/maintenance agreement and what occurs after the service/maintenance agreement expires.
  - Documentation, including system specifications

## VI. TRAINING

- A. Dependent on the submitted proposals, this may include, but is not limited to:
  - Create training materials and train on the provided Secure FTP or MFT system.
    - Training and materials for technical staff supporting application
    - Training and materials for business staff to use process
    - Training and materials for content contributors and Webmaster

## VII. SUBMISSION REQUIREMENTS.

- A. **General Requirements** – each response must include the following or it shall be excluded from moving through to the next phase of response scoring:
  1. **Certificate of Insurance.** Each proposal shall contain acceptable evidence of compliance with the workers' compensation coverage requirements of Minnesota Statute § 176.181, subd. 2. Vendor's RFP response must include one of the following: (1) a certificate of insurance, or (2) a written order from the Commissioner of Insurance exempting you from insuring your liability for compensation and permitting him to self-insure the liability, or (3) an affidavit certifying that you do not have employees and therefore are exempt pursuant to Minnesota Statutes §§ 176.011, subd. 10; 176.031; and 176.041. See Section XV of the sample State contract in [Appendix III](#) for details on additional insurance requirements that must be provided upon request of the State.

2. **Affirmative Action Certification.** If the vendor's proposal exceeds \$100,000.00, the RFP response must include a completed Affirmative Action Statement and Certificate of Compliance, which are attached as [Appendix I](#).
3. **Non-Collusion Affirmation.** Vendor must complete the Affidavit of Non-Collusion ([Appendix II](#)) and include it with its RFP response.
4. **Contract Terms – acknowledgment of a and b.** The State's proposed contract templates are set forth in [Appendix III](#) (contract) and [Appendix IV](#) (subcontractor participation agreement). No work can be started until a contract (and where necessary a subcontractor participation agreement), in the form approved by the State Court Administrator's Legal Counsel Division, has been signed by all necessary parties in accordance with state court procurement and contract policies. The templates included in the appendices are sample forms and are not to be interpreted as offers.
  - a. By submitting a response to this RFP, Vendor accepts the standard terms and conditions and contract set out in Appendices III and IV, respectively. Much of the language included in the standard terms and conditions and contract reflects requirements of Minnesota law.
  - b. Vendors requesting additions or exceptions to the standard terms and conditions or contract terms shall submit them with their response to the RFP. A request must be accompanied by an explanation why the exception is being sought and what specific effect it will have on the Vendor's ability to respond to the RFP or perform the contract. The State reserves the right to address nonmaterial requests for exceptions to the standard terms and conditions and contract language with the highest scoring Vendor during contract negotiation.
  - c. The State shall identify any revisions to the standard terms and conditions and contract language in a written addendum issued for this RFP. The addendum will apply to all Vendors submitting a response to this RFP. The State will determine any changes to the standard terms and conditions and/or contract.
5. **Evidence of Financial Stability.** Vendor's RFP must provide evidence of Vendor's financial stability as an indicator of Vendor's ability to provide services irrespective of uneven cash flow. **Financial Stability-Related Trade Secret.** Judicial MJB rules of public access permit vendors to submit evidence of financial stability as trade secret information according to the following:

- a. The evidence-of-vendor's-financial-stability must qualify as a trade secret under Minn. Statute § 325C.01 or as defined in the common law;
- b. The vendor submits the evidence-of-vendor's-financial-stability on a separate document (but as part of their complete submission) and marks the document(s) containing only the evidence-of-vendor's-financial-stability as "confidential;"
- c. The evidence-of-vendor's-financial-stability is not publicly available, already in the possession of the Judicial MJB, or known to or ascertainable by the Judicial MJB from third parties.

Except for financial stability information submitted in accordance with this section, do not place any information in your proposal that you do not want revealed to the public. Proposals, once opened, become accessible to the public except for financial stability information submitted in accordance with this section. Please also note that if a vendor's proposal leads to a contract, the following information will also be accessible to the public: the existence of any resulting contract, the parties to the contract, and the material terms of the contract, including price, projected term and scope of work.

6. **Team Member Roster and Resumes.** Vendor's RFP must provide a roster and resumes of all team members who will be working on this project.

**B. Project-Related Submission Requirements: each response must include the following or it shall be excluded from moving through to the next phase of response scoring:**

1. A cover sheet including vendors' contact information, email address, business address, and phone numbers. Cover sheet should include signature lines and must be signed by, in the case of an individual, by that individual, and in the case of an individual employed by a firm, by the individual and an individual authorized to bind the firm
2. An overview that reflects the vendors' understanding of the efforts described in this Request for Proposals and the project deliverables;
3. A detailed explanation of how the Vendor proposes to meet the Project objectives and requirements set forth above, including descriptions of the methodology that will be used and examples of the deliverables that will be produced;

4. A detailed explanation of the terms of the warranty for new development software, including defect management, and enhancement requirements;
5. Provide a not-to-exceed cost to include identification of the assumptions made and the rationale used to prepare the estimate;
6. Provide any foreseeable ongoing annual and/or licensing fees;
7. A description of completed similar projects that demonstrate the Vendor's experience and area of expertise, including Vendor's ability to provide the stated Deliverables;
8. At least three (3) client references with appropriate contact information that the Vendor has performed work for in the past three (3) years and that can attest to vendor ability to complete work as stated;
9. A written statement acknowledging either no conflict of interest or identifying any conflicts of interest as it relates to this project.

**C. Pricing, Risk of Loss**

1. All prices quoted must be firm and not subject to increase unless otherwise provided for in this RFP. Price reductions must immediately be passed on to the State whenever they become effective. Prices must be quoted in United States currency.
2. Travel, administrative, overhead and other related charges and expenses shall be included in the prices set forth in the proposal.
3. A unit price and a total for the quantity must be stated for each item quoted. In case of an error in the extension or total, the unit price prevails.
4. No more than one unit price may be quoted on any one item unless otherwise provided for in the RFP.
5. DO NOT INCLUDE sales tax in pricing. The STATE holds Direct Payment Permit 1114 and pays tax directly to the Department of Revenue.
6. The State is relieved of all risks of loss or damage to the equipment during periods of transportation, installation, and during the time the equipment is in possession of the State, unless and until such time as unencumbered title for the goods are vested in the State and the goods are in exclusive possession of the State.

**VIII. PROPOSAL EVALUATION.**



- A. The State will evaluate all complete proposals received by the deadline. Incomplete proposals, late proposals, or proposals sent to any other address will not be considered. In some instances, an interview or demonstration may be part of the evaluation process.
- B. The first part evaluation will be limited strictly to the general submission requirements and project specific requirements as outlined in Section VII, A & B.
- C. The second part evaluation of all proposals shall be based upon deriving the “Best Value” for the State. Best Value means achieving an appropriate balance between price and other factors that are key to a particular procurement. A procurement that obtains a low price but does not include other necessary qualities and features of the desired product or service does not meet the Best Value criterion. Factors upon which the proposals will be judged include, but are not limited to, the following:
  - 1. Vendor’s industry experience and previous experience in performing similar work;
  - 2. Thoroughness, quality, specificity, robustness, flexibility of Vendor’s approach/ methodology;
  - 3. Cost estimate;
  - 4. Vendor’s product and/or service delivery methodology;
  - 5. Reliability of product or service;
  - 6. Closeness of fit with technical requirements;
  - 7. Financial stability of the organization; and
  - 8. Vendor’s past performance and client references.
- IX.** The State reserves the right to determine, at its sole and absolute discretion, whether any aspect of a proposal satisfactorily meets the criteria established in this RFP.
- X.** The State reserves the right to request additional information from Vendors during any phase of the proposal evaluation process. During the evaluation and selection process, the State may require the presence of Vendor’s representatives at a vendor conference. During a vendor conference, a vendor may be asked to provide a demonstration of the product and/or to answer specific questions. Vendors are required to travel at their own expense to for the demonstration of the product and answer questions. Notification of any such requirements will be given as necessary.

**XI.** The State may elect not to award a contract solely on the basis of this RFP, and will not pay for the information solicited or obtained. The information obtained will be used in determining the alternative that best meets the needs of the State.

**XII. SUBMISSION OF PROPOSALS.**

**A. Proposal Timeline.**

1. Posting Date on State MJB Website [MJB Court Public Website - Public Notice](#) : *March 19, 2014*
2. Questions Due: *Wednesday, March 26, 2014*, by 4:30PM, CST.
3. Answers Posted: *Wednesday, April 2, 2014*, by 4:30PM, CST.
4. Proposal Submission Deadline: *Friday, April 11, 2014*, by 4:30PM, CST.
5. Vendor conferences will be scheduled if needed starting April 28, 2014.
6. Subsequent selection as soon thereafter as possible.

**B. Amendments.** Any amendments to this RFP will be posted on the MJB website.

**C. Questions.** All questions about this RFP must be submitted in writing via email to the State's sole point of contact identified in this paragraph no later than *Wednesday, March 26, 2014*, by 4:30PM, CST. Other court personnel are not allowed to discuss the Request for Proposals with anyone, including responders, before the proposal submission deadline.

Lynae Olson  
Civil Division Administrator  
Second Judicial District  
lynae.olson@courts.state.mn.us

**D. Answers to Questions.** Timely submitted questions and answers will be posted on the MJB website by the end of the day on *Wednesday, April 2, 2014*, by 4:30PM, CST and will be accessible to the public and other proposers.

**E. Sealed Proposal and Submittal Address.** Your proposal must be received in writing by *Friday, April 11, 2014* at 4:30PM, CST. in a sealed envelope to:

Lynae Olson  
Civil Division Administrator  
Second Judicial District  
15 w. Kellogg Blvd, 1700  
St. Paul, Minnesota 55102

The submission must include both four (4) paper copies and one (1) electronic PDF copy either on disc or flash drive. No facsimile submissions will be accepted. Proposals delivered in person to the Second District Court House should be presented to the 17<sup>th</sup> floor Second District Executive Assistant and date/time stamped by the receptionist.

- F. **Signatures.** Your proposal must be signed by, in the case of an individual, by that individual, and in the case of an individual employed by a firm, by the individual and an individual authorized to bind the firm. This can be done on vendor informational cover sheet as stated in Project Related Submission Requirements.
- G. **Ink.** Prices and notations must be typed or printed in ink. No erasures are permitted. Mistakes may be crossed out and corrections must be initialed in ink by the person signing the proposal.
- H. **Deadline; Opening; Public Access.** Proposals must be received no later than *Friday, April 11, 2014*, by 4:30PM, CST. Proposals will be opened the following business day and once opened become accessible to the public (except financial stability information submitted as a trade secret in accordance with the instructions in Section VII(A)(5) of this RFP). With the exception of evidence-of-vendor's-financial-stability trade secret information submitted in accordance with the instructions in Section VII(A)(5) of this RFP, do not place any information in your proposal that you do not want revealed to the public. All documentation shipped with the proposal, including the proposal, will become the property of the State.
- I. **Late Proposals.** Late proposals will not be accepted or considered.
- J. **Selection Timeline.** Vendor selection will be as soon as possible after the proposal submission deadline.

## APPENDIX A

### MJB SYSTEM REQUIREMENTS

A. System platform requirements- The MJB has an IT group who will manage and support the software platforms. IT platform requirements are listed below:

- Hosted on Judicial MJB servers
- Windows 2012
- SQL Server 2012
- .Net Platform, C#
- Web Services
  - SOAP
  - WS-Security
  - WS-Addressing
- Web-based
  - Browser
    - Chrome
    - IE 8+
    - Safari - tested on an iPad
    - Firefox
- Mobility Needs
  - Responsive web design approach
- Usage
  - The system will be used on a continuous basis with no expected spikes in usages based on calendar

B. Look and Feel.

- Standard Judicial Branch look and feel will be provided and that standard will be followed
  - Minnesota Judicial Branch Style Guide
  - Approved color palette

**APPENDIX B**  
**MJB Summary of Submission Requirements**

Each response MUST include all items listed in both the General Requirements and Project-Related Submission Requirements. If a response is missing any of these requirements, it will fail phase 1 review and will not be further considered. You will be notified by rejection letter if your response is missing any of these items.

Please see the Section (VII) Submission Requirements A. and B. for the details of each item listed below:

**A. General Requirements**

1. **Certificate of Insurance.**
2. **Affirmative Action Certification.**
3. **Non Collusion Affirmation.**
4. **Contract Terms – acknowledgment of a and b.**
5. **Evidence of Financial Stability.**

**Team Member Roster and Resumes**

**B. Project-Related Submission Requirements**

1. **Signed Cover sheet.**
2. **Vendor overview.**
3. **Vendor’s proposal to meet project objectives.**
4. **Vendor’s detailed explanation of terms of warranty for any new development.**
5. **Not to exceed cost**
6. **Vendor’s detailed breakdown of foreseeable annual and/or licensing fees.**
7. **Description of Completed similar projects.**
8. **Three (3) client references.**
9. **Written statement acknowledging whether or not there is a conflict of interest.**

**Appendix C: Detailed Business Requirements.**  
**Infrastructure Planning and Design, Technical Requirements and Limitations**  
**Usage/Traffic**

Anticipated Court EMR system usage can be derived from available statistics.

<b>Action</b>	<b>Ramsey (2<sup>nd</sup>)</b>	<b>Hennepin (4<sup>th</sup>)</b>
Cases/Month	150	200
Business Days/Month	Approx. 20	Approx. 20
Max Cases/Day	30	TBD (Mon and Wed)
Number of Users/Case	3-5	3-5
Number of Providers/Case	1-3	1-3
Number of Files/Provider	1-3	1-3
Approximate File Size (Need verification from providers.)	1 – 150 MB*	1 – 150 MB*

\* 150 MB is an estimate based on information from two hospitals.

Approximate File Storage Required: <100 GB (260 cases x 6 files/case x 50 MB/file)

Busiest time of day is anticipated to be early morning, especially Monday, as medical providers upload weekend updates and as individuals prepare for hearings. There is a large opportunity for planned maintenance windows for this software.

The number of system users is not anticipated to grow significantly, except in the case of additional districts using the system, or additional types of information (such as police records) being delivered via this system.

**Availability**

High-availability of 99.9% is recommended for the electronic medical records system, allowing for 9 hours/year of down-time. It is not deemed necessary at this time to pursue a Fault Tolerant system for the goal of 99.99% availability (or less than 1 hours of down-time per year). In addition, there are many windows of opportunity for planned system maintenance. 24/7 availability is not a strict requirement, with business-hours availability being the most critical.

Disaster recovery capability of medical records system in the case of a catastrophic failure is very critical. Off-site backups of the system will be required.

**Performance**

Users should expect a reasonable system response time upon login, typically no greater than four seconds. However, it will be expected that large files (on the order of 150 MB) will take time to download, depending on user bandwidth.

## Scalability

With a total of 10 Judicial Districts in Minnesota, it is believed that a single implementation of Secure FTP or Managed File Transfer will meet the needs of the state for the scope of use defined in this project.

Initial user estimates:

User Group Name	Count
4 <sup>th</sup> District Administration	7
4 <sup>th</sup> District Attorneys/Paralegal	16
4 <sup>th</sup> District Defense Panel	36
4 <sup>th</sup> District Examiners	30
4 <sup>th</sup> District Judicial Officers	5
4 <sup>th</sup> District Miscellaneous	3
2 <sup>nd</sup> District Administration	4
2 <sup>nd</sup> District Attorneys/Paralegal	8
2 <sup>nd</sup> District Defense Panel	10
2 <sup>nd</sup> District Examiners	4
2 <sup>nd</sup> District Judicial Officers	2
2 <sup>nd</sup> District Miscellaneous	1
Medical Providers Major Regional	10
Medical Providers Other	TBD
Medical Providers Outstate	TBD
Additional groups created as needed	TBD

## Topology

Creating an isolated system which is dedicated to the use of the Electronic Medical Records Management System is recommended for general security of the information, and for HIPAA-compliance.

## Security

Security is the quality of a system that affects the integrity of the system and its users, including the integrity of the user's transactions and associated data.

## Authentication

Authentication is how users identify themselves to a system; it protects the system from unauthorized access. Each user should have an individual login, which will allow them to manage their own password, and will benefit the traceability via the audit trail.

## Authorization

Authorization is the recognition of specific privileges to authenticated users. Authorization will largely be managed via role-based permissions (permission groups).

- All users within the county attorney, defense panel, and court appointed examiner groups should automatically receive permissions for all cases in their district.
- Medical providers will have permissions to upload files, but will not be able to see the existence of files on the server or view files on the server.

## **Identity Management**

A deployed system must have a way to add, modify, or delete users who will be accessing system services. Permissions management for individual users and group permission management are required in the selected vendor solution.

Medical records are secure and confidential. Permissions must be designed accordingly and need to be provisioned both at the district and case level.

- Example of Permission structure:
  - **Administrator Permission:** Users with full administrator's permissions will be able to create folders, delete folders, upload files, download files, and delete files. Only administrators will have permission to assign\revoke user permissions on folders.
  - **Upload-only Permission:** Medical providers will be the only users with Upload Only permissions. They will have permission to upload files into case. They will not be able to view files nor will they be able to download files. The process of uploading a medical record consists of logging into system and copying the medical record into the appropriate case.
  - **Read/Download-Only Permission:** Users with view-only permission will be able to view the medical record directly on the server or they can download the files to their PC. A security disclaimer must be accepted prior to downloading the medical record.

## **Traceability / Audit Trail**

The essential task of security will be to prevent any user without permission from viewing or downloading medical records. Access to medical records should be able to be granted at the case level. Users will be given permission to certain cases and so will have access to all medical records associated with the cases assigned to them. Security is a set of requirements distinct from those requirements associated with HIPAA compliance.

The implementation of case based permission will be made simpler through the use of permission groups. Each user will be assigned to a permission group. Permission groups will be given access to a certain set of cases and in turn given access to all users within the group. Only authorized administrators will be able to configure security settings.

Security requirements will include the use of an audit trail. An audit trail is important for several reasons. An audit trail provides information on the date and time when a medical record is received from the medical provider. In order to work efficiently with medical providers, it is helpful to be able to refer to an audit trail when there are discrepancies as to whether medical records have been received from medical providers.

Audit trail logs will routinely be monitored to ensure users are not accessing medical records without permission, and that the group-permissions policy is being used appropriately.



The audit trail will capture which user initiated the event and the date of the event for the following events:

- When files have been uploaded and by whom
- When files have been downloaded and by whom
- When files have been viewed and by whom
- When files have been deleted and by whom

In order to provide the secure transfer of medical records in a web-based document management system the data transmissions must use SSL/TLS encryption. Authentication should be enforced with the use of HTTPS connections with passwords and SSL certificates.

### **Capabilities for sending electronic records by providers / Provider interface / User interface**

It is imperative the electronic medical records system will work with each of the varying provider and user-systems.

- All files are to be received in PDF format,
  - Industry-standard file type able to be generated by all medical providers
  - Viewable with free PDF-viewer software.
- Web-based interface, requiring no installation is recommended for compatibility with the wide variety of user-systems. Both Mac and PC systems shall be supported.
- Users with permissions can view files (read-only) via Secure FTP, or can choose to download the files for long-term use and for functionality such as bookmarking.

### **Browsing**

A document search feature which would allow users to search for a specific file name while not in the proper case is not a required feature based on user assessment, but would be considered desirable.

### **HIPAA-compliance**

HIPAA-compliance regulations require documentation of who has access to medical records, where it has been moved, and every person that might have had access to it along the way.

- A HIPAA-compliant medical records transfer process is required for medical provider use.
- HIPAA-compliance for interaction with medical records after the initial upload is not required. This fact allows users to download files for long-term use without the constraint of tracking every interaction with the file.

### **Medical record life cycle**

The electronic medical records system shall only allow file uploads. Only medical providers will be allowed to upload files. No editing or overwriting of uploaded documents will be allowed. It has been determined by the court that a 30-day life cycle for medical records is sufficient for court use. Any pertinent information from medical records will become an exhibit within the 30-day window, therefore rendering the original medical records files useless.

**High Level Strategic Design  
Business Process Workflows/Use Cases**

**UC1 County Attorney Requests Medical Records from Provider(s)**

Section	Description
Use Case	UC1
Name	County Attorney or Court Administration Requests Medical Records from Provider(s)
User	County Attorney or Court Administration
Summary	User receives signed court order requesting medical records from provider(s), and requests medical providers to deliver the records to the Court EMR System.
Description	<ol style="list-style-type: none"> <li>1. User navigates to the Portal via a web browser.</li> <li>2. User enters login credentials, accepts disclaimer, and enters the Portal site.</li> <li>3. User opens their district folder (such as Ramsey or Hennepin).</li> <li>4. System lists all cases set up in their district. System does not list any cases set up under different districts, since no permissions are provided.</li> <li>5. User verifies the case folder exists, or creates a new case folder.</li> <li>6. System automatically stores folder creation in audit trail.</li> <li>7. This process is dependent on the selected software solution, but will likely be facilitated by right-clicking on the district folder, choosing “New Folder”, and filling in the new folder name with either the case name or case number.</li> <li>8. User [manually] sends medical record request to Medical Provider(s) via email or fax, includes case name information and instructions.</li> <li>9. If the Medical Provider is not a regular system user, User should attach an instruction sheet explaining how Medical Records Providers can fulfill the court order via the Court EMR System.</li> </ol>

**UC2 Medical Records Provider Fulfills Court Order for Medical Records**

Section	Description
Use Case	UC2
Name	Medical Records Provider Fulfills Court Order for Medical Records
User	Medical Records Provider

Summary	Medical Provider receives signed court order requesting medical records, creates a PDF of the requested information, and uploads the document to the Court EMR Portal.
Description	<ol style="list-style-type: none"> <li>1. User creates a single PDF of the required medical record information and names document with recommended naming convention such as doe-john-20121107-to-20130104-hcmc.pdf</li> <li>2. User navigates to the Court EMR HIPAA-Compliant Portal via a web browser, enters login credentials, accepts disclaimer, and enters the portal. User opens the proper district folder.</li> <li>3. System lists all case folders set up under the specified district.</li> <li>4. System does NOT list any existing file names (case document names) to logged in Medical Providers.</li> <li>5. User uploads PDF to the case folder.</li> <li>6. System automatically stores file upload in audit trail.</li> <li>7. System auto-deletes the record after 30-days.</li> </ol>

### **Case Organization / Folder Structure**

The folders that will be used to store medical records will be organized first by district and then by case number and respondent's last name.

After new district folders have been created, role-based permissions will be assigned. It is assumed that the users will be added to roles, and the roles will be assigned to the district folder(s). Permissions will automatically be applied to all child folders beneath each district folder.

The following is an example of the folder structure. Medical record files will be stored in the case folders.

- 2nd-district-cases
  - 57894-doe
  - 57895-smith
  - 57896-jones
- 2nd-district -exhibits (optional)
  - electronic exhibit files may be stored directly in this folder, or organized by case
- 4th-district-cases
  - 123-doe
  - 124-smith
  - 125-jones
- 4th-district-exhibits (optional)

## APPENDIX I

### Affirmative Action Statement and Certification of Compliance

(Must be submitted with Response)

#### STATE OF MINNESOTA - AFFIRMATIVE ACTION STATEMENT

If your response to the RFP is estimated to exceed \$100,000, you must complete the information requested:

##### **BOX A:**

1. Have you employed more than 40 full-time employees within Minnesota on a single working day during the previous 12 months?

YES  NO

If your answer is “NO,” proceed to BOX B. If your answer is “YES,” **your response will be rejected unless your firm or business has a Certificate of Compliance issued by the State of Minnesota, Commissioner of Human Rights, or has submitted an affirmative action plan** to the Commissioner of Human Rights for approval **by the time the responses are due** for any proposal estimated to exceed \$100,000.

2. Please check one of the following statements:

YES, we have a **current** Certificate of Compliance that has been issued by the State of Minnesota, Commissioner of Human Rights. (Include a copy of your certificate with your response.)

NO, we **do not have** a Certificate of Compliance; however, **we submitted an affirmative Action plan** to the Commissioner of Human Rights for approval on \_\_\_\_\_. The plan must be approved by the Commissioner of Human Rights before any designation or agreement can be executed.

NO, we **have not submitted** a plan. If your plan is not submitted by the time the responses are due, your response will be rejected.

**NOTE:** Minnesota designations must have a certificate issued by the Minnesota Department of Human Rights. Affirmative Action plans approved by the federal government, a county, or a municipality must still be reviewed and approved by the Minnesota Department of Human Rights for a certificate to be issued.

##### **BOX B:**

1. Have you employed more than 40 full-time employees on a single working day during the previous 12 months in a state in which you have your primary place of business and that primary place of business is outside of the State of Minnesota, but inside the United States?

YES  NO

If your answer is “NO,” proceed to BOX C. If your answer is “YES,” **the state cannot execute a designation with your firm or business unless it is in compliance with the Minnesota Human Rights certification requirements. It is the sole responsibility of the firm or business to apply for and obtain a human rights certification prior to execution of a designation as applicable.** You may achieve compliance with the Human Rights Act by having either a current Certificate of Compliance issued by the State of Minnesota, Commissioner of Human Rights, or by certifying that you are in compliance with federal Affirmative Action requirements.

**BOX B (continued):**

2. Please check one of the following statements:

- YES**, we have a current Certificate of Compliance issued by the Minnesota Department of Human Rights. (Include a copy of your certificate with your response.)
- YES**, we are in compliance with federal Affirmative Action requirements.
- NO**, we do not have a current Certificate of Compliance and we cannot certify that we are in compliance with federal Affirmative Action requirements.

**BOX C:**

1. If your answers to BOX A (Question 1) and Box B (Question 1) were “NO,” you are not subject to the Minnesota Human Rights Act certification requirement. Please, however, check one of the following:

- NO**, we have not employed more than 40 full-time employees within Minnesota on a single working day during the previous 12 months and we have not employed more than 40 full-time employees on a single working day during the previous 12 months in the state in which our primary place of business is located.
- We are a business with our primary place of business outside of the United States that has not employed more than 40 full-time employees within Minnesota on a single working day during the previous 12 months.

For further information regarding Minnesota Human Rights requirements, contact the Department of Human Rights, Compliance Services, 190 East 5th Street, Suite 700, St. Paul, MN 55101; Voice: 651.296.5663; Toll Free: 800.657.3704; or TTY: 651.296.1283. For further information regarding federal Affirmative Action requirements, call 800.669.4000 or visit its web site <http://www.eeoc.gov/>

**By signing this statement, the Proposer certifies that the information provided is accurate.**

**NAME OF FIRM:** \_\_\_\_\_

**AUTHORIZED SIGNATURE:** \_\_\_\_\_

**TITLE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

## **STATE OF MINNESOTA - AFFIRMATIVE ACTION CERTIFICATION OF COMPLIANCE**

The Minnesota Human Rights Act (Minn. Stat. § 363.073) divides the designation compliance program into two categories. Both categories apply to any designations for goods or services in excess of \$100,000.

The first category applies to businesses that have had more than 40 full-time employees within Minnesota on a single working day during the previous 12 months. The businesses in this category must have submitted an Affirmative Action plan to the Commissioner of the Department of Human Rights prior to the due date of the response and must have received a Certificate of Compliance prior to the execution of a designation.

The second category applies to businesses that have had more than 40 full-time employees on a single working day in the previous 12 months in the state in which they have their primary place of business. The businesses in this category must have either a current Certificate of Compliance previously issued by the Department of Human Rights or certify to the STATE that they are in compliance with federal Affirmative Action requirements before execution of a designation. For further information, contact the Department of Human Rights, 190 East 5th Street, Suite 700, St. Paul, MN 55101; Voice: 651-296-5663; Toll Free: 800-657-3704; or TTY: 651-296-1283.

Minnesota businesses must have a current Certificate of Compliance or submitted an affirmative action plan by the time proposals are due, or their proposal will be rejected.

The STATE is under no obligation to delay the execution of a designation until a business has completed the Human Rights certification process. It is the sole responsibility of the business to apply for and obtain a Human Rights certificate prior to execution of a designation, as applicable.

**APPENDIX II**  
**STATE OF MINNESOTA**  
**AFFIDAVIT OF NON-COLLUSION**  
**(Must be submitted with Response)**

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

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

Proposer's Firm Name: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**APPENDIX III**  
**STATE OF MINNESOTA**  
**PRODUCT AND SERVICES CONTRACT**  
**SAMPLE ONLY; NOT AN OFFER**

THIS CONTRACT, and amendments and supplements thereto, is between the State of Minnesota, acting through its State Court Administrator's Office, Information Technology Division, address 145 Minnesota Judicial Center, 25 Rev. Dr. Martin Luther King Jr. Boulevard, St. Paul, Minnesota 55155 (hereinafter "STATE") and  [insert vendor full legal name and address]  (hereinafter "CONTRACTOR").

**Recitals**

The STATE, pursuant to Minnesota Statutes 2011, Section 480.15, subdivision 10b, administers and maintains court information systems. The STATE desires  [insert general description of services] . CONTRACTOR (and, where applicable, CONTRACTOR's STATE approved subcontractor) has experience with the desired services, and CONTRACTOR represents that it is duly qualified and willing to perform the services set forth herein.

**Contract**

Based on the mutual agreements, promises, and covenants contained in this contract, it is agreed:

I. **DUTIES.** CONTRACTOR, who is not a STATE employee, shall provide professional  [insert general description of services] . Services will be provided based on a  [insert agreed upon hourly service arrangement]  hour work week, with meetings and presentations held during core business hours of 9:00 a.m. to 4:00 p.m. Monday through Friday;  provided  that CONTRACTOR may perform duties outside of core business hours and off-site at CONTRACTOR'S expense (including all necessary off-site equipment, supplies and related costs). All professional services required hereunder shall be furnished exclusively by CONTRACTOR'S [employee  [insert employee's full legal name] ] / [subcontractor  [insert subcontractor's full legal name] ], which must first sign a confidentiality, participation and assignment of rights agreement in a form acceptable to the STATE]. CONTRACTOR'S duties include:

- A.  [insert specific duties here] ;
- B.  [insert specific duties here] .

II. **CONSIDERATION AND TERMS OF PAYMENT.**

A. **Consideration.** As consideration for all services performed, transfer of rights, and goods or materials supplied by CONTRACTOR pursuant to this Contract, including all clerical support, phone support, and related expenses, the STATE shall pay to CONTRACTOR  [insert agreed upon hourly rate here]  dollars (US \$XXX.XX) per hour. The total obligation of the STATE for all compensation and reimbursements to CONTRACTOR shall not exceed  [insert total cap amount here]  dollars (US \$XXX.XX).

It is understood that no funds are being encumbered under this contract for travel and related expenses, and parking and copying. To the extent that travel or copying is necessary, the STATE will reimburse CONTRACTOR through its regular non-state employee expense reimbursement process, or arrange to pay directly, for pre-approved airfare, lodging, meals, and ground transportation ("travel and subsistence expenses") or pre-approved copying expenses; provided, that CONTRACTOR shall be reimbursed for travel and subsistence expenses in the same manner and in no greater amount than provided in the



STATE'S current Administrative Policy on Travel and Reimbursement. CONTRACTOR shall not be reimbursed for travel and subsistence expenses or copying expenses unless it has received prior written approval for such expenses from the STATE, and the STATE will separately encumber the necessary funds. The STATE hereby designates Mark Moore as its agents for approval of such expenses.

- B. **Terms of Payment.** CONTRACTOR shall submit an invoice on the first and fifteenth day of each month for billable costs incurred by the CONTRACTOR during the immediately preceding one-half month. Payments shall be made by the STATE promptly after CONTRACTOR'S presentation of invoices for services performed and acceptance of such services by the STATE'S authorized agent pursuant to Section VII.
- C. **Acceptance.** Upon written notice from CONTRACTOR that the Deliverables are ready for STATE review, the STATE shall have ten (10) business days to review the Deliverables. If the STATE does not notify CONTRACTOR within such ten (10)-business day period that the Deliverables are not acceptable, the Deliverables shall be deemed accepted. If the STATE notifies CONTRACTOR within the ten (10)-business day period that the Deliverables are not accepted, CONTRACTOR shall have ten (10) business days to make corrections and resubmit the Deliverables to the STATE for review by written notice, and the STATE shall again have ten (10) business days to review the Deliverables, and this process shall repeat corresponding ten (10)-business day periods until acceptance has occurred, provided, however, that if through no fault of the STATE acceptance has not occurred by [insert final acceptance date here], the STATE may cancel this contract and return all draft Deliverables and shall not be obligated to CONTRACTOR for any amounts hereunder.

III. **TIME REQUIREMENTS.** CONTRACTOR shall comply with all of the time requirements described in this contract.

IV. **CONDITIONS OF PAYMENT.** All services provided by CONTRACTOR pursuant to this contract shall be performed to the satisfaction of the STATE, as determined at the sole discretion of its authorized representative, and in accord with the CONTRACTOR'S duties set forth in Section I of this contract and all applicable federal, state, and local laws, ordinances, rules and regulations. CONTRACTOR shall not receive payment for work found by the STATE to be unsatisfactory, or performed in violation of federal, state or local law, ordinance, rule or regulation.

V. **TERMS OF CONTRACT.** This contract shall not be effective until approved as to form and execution by the STATE's Legal Counsel Division, and upon such approval the effective date shall be deemed to be [insert start date here]. This contract shall remain in effect until [insert termination date here], unless terminated or cancelled as provided herein.

VI. **CANCELLATION.**

- A. The STATE may cancel this contract at any time, with or without cause, upon thirty (30) days' written notice to the other party. If the contract is canceled under this clause, CONTRACTOR shall be entitled to payment, determined on a pro rata basis, for work or services satisfactorily performed.
- B. The STATE may immediately cancel this contract if it does not obtain funding from the Minnesota Legislature, or other funding source; or if funding cannot be continued at a level sufficient to allow for the payment of the services covered here. Cancellation must be by

written or facsimile transmission notice to CONTRACTOR. The STATE is not obligated to pay for any services that are provided after notice and effective date of termination. However, CONTRACTOR will be entitled to payment, determined on a pro rata basis, for services satisfactorily performed to the extent that funds are available. The STATE will not be assessed any penalty if the contract is cancelled because of a decision of the Minnesota Legislature, or other funding source, not to appropriate funds. The STATE must provide CONTRACTOR notice of the lack of funding within a reasonable time of the STATE'S receiving that notice.

- VII. **STATE'S AUTHORIZED REPRESENTATIVE.** The STATE'S Authorized Representative for the purposes of administration of this contract is Mark Moore, Director, Information Technology Division, or his successor in office. Such representative shall have final authority for acceptance of CONTRACTOR'S services and if such services are accepted as satisfactory, shall so certify on each invoice submitted pursuant to Section II.B.
- VIII. **ASSIGNMENT AND BINDING EFFECT.** Except as expressly authorized in this contract, CONTRACTOR shall neither assign nor transfer any rights or obligations under this contract without the prior written consent of the STATE. This contract shall be binding upon and inure to the benefit of the parties hereto and their respective successors and assigns, including any corporation or other legal entity into, by or with which CONTRACTOR may be merged, acquired or consolidated or which may purchase all or substantially all of the business assets of CONTRACTOR.
- IX. **AMENDMENTS.** Any amendments to this contract shall be in writing and shall be executed by the same parties who executed the original contract, or their successors in office.
- X. **LIABILITY.** CONTRACTOR shall indemnify, save, and hold the STATE, its representatives and employees harmless from any and all claims or causes of action, including all attorney's fees incurred by the STATE, arising from the performance of this contract by CONTRACTOR or CONTRACTOR'S agents or employees. This clause shall not be construed to bar any legal remedies CONTRACTOR may have for the STATE'S failure to fulfill its obligations pursuant to this contract. Without limiting the foregoing, CONTRACTOR's liability includes liability for the direct and verifiable costs to recreate any lost or damaged STATE records that are capable of being recreated using commercially reasonable efforts.
- XI. **STATE AUDITS.** The books, records, documents, and accounting procedures and practices of the CONTRACTOR relevant to this contract shall be subject to examination by the contracting department and the Legislative Auditor for a minimum period of six (6) years from the termination of this contract. Records shall be sufficient to reflect all costs incurred in performance of this Contract.
- XII. **CONFIDENTIALITY, DISCLOSURE AND USE.**
- A. **General.** CONTRACTOR shall not disclose to any third party (except, where applicable, CONTRACTOR's STATE approved subcontractor  [insert subcontractor's full legal name] , which must first sign a confidentiality, participation and assignment of rights agreement in a form acceptable to the STATE) any information that is both: (1) made available by the STATE to CONTRACTOR in order to permit CONTRACTOR to perform hereunder or is created, gathered, generated or acquired in accordance with this contract; and (2) inaccessible to the public pursuant to the Rules of Public Access to Records of the Judicial Branch promulgated by the Minnesota Supreme Court, as the

same may be amended from time to time. If the CONTRACTOR receives a request to release the information referred to in this Clause, the CONTRACTOR must immediately notify the STATE. The STATE will give the CONTRACTOR instructions concerning the release of the information to the requesting party before the information is released. CONTRACTOR shall not use any information that is made available by the STATE to CONTRACTOR in order to permit CONTRACTOR to perform hereunder, or is created, gathered, generated or acquired in accordance with this contract, for any purpose other than performance of this contract.

B. **State Programs, Databases, Marks.** Without limiting paragraph A, above, CONTRACTOR agrees to the following:

1. **State Programs.** The computer application programs made available by the STATE to CONTRACTOR in order to permit CONTRACTOR to perform its obligations hereunder are referred to herein as "State Programs." The STATE is the copyright owner of the State Programs. The combination of ideas, procedures, processes, systems, logic, coherence and methods of operation embodied within the State Programs, and all analysis and design specifications, programming specifications, source code, algorithms, and information contained in technical reference manuals pertaining to the State Programs, are trade secret information of the STATE. The computer operating systems software programs and other third party software licensed by the STATE, and related documentation, made available by the STATE to CONTRACTOR in order to permit CONTRACTOR to perform its obligations hereunder, are subject to claims of trade secret and copyright ownership by the respective licensors and will be treated by CONTRACTOR in the same manner as trade secret information of the STATE. In addition, CONTRACTOR will familiarize itself with and abide by the terms and conditions of the license agreements applicable to such third party software. Without limiting the foregoing, CONTRACTOR may also be required to sign an appropriate confidentiality agreement with the STATE's software vendor if access to proprietary segments of the MNCIS application are necessary for CONTRACTOR's work hereunder.
2. **State Databases.** The computer databases made available by the STATE to CONTRACTOR in order to permit CONTRACTOR to perform its obligations hereunder are referred to herein as "State Databases." The STATE is the copyright owner of the State Databases and of all copyrightable aspects and components thereof. All specifications and information pertaining to the State Databases and to their structure, sequence and organization are trade secret information of the STATE. All information contained within the State Databases is sensitive, confidential information and will be treated by CONTRACTOR in the same manner as trade secret information of the STATE. Without limiting any of the foregoing, CONTRACTOR understands and agrees that to the extent that any records made available by the STATE to CONTRACTOR hereunder are publicly-accessible, the STATE retains all rights it possesses in and to such records and CONTRACTOR has no title or ownership rights, including any right to sell, resell, disclose, redisclose, recombine, reconfigure or retain such records except: (i) as expressly required for CONTRACTOR's compliance with this contract; or (ii) to the extent that it has purchased or obtained the

same from the State on the same terms and via the same means and to the same extent as other members of the public.

3. **Marks.** The STATE claims that the marks “MNCIS,” “CriMNet,” “SJIS,” and “MARS” are trademarks and service marks of the STATE. CONTRACTOR shall neither have nor claim any right, title, or interest in or use of any trademark, service mark, or tradename owned or used by the STATE.
  4. **Restrictions on Duplication, Disclosure and Use.** CONTRACTOR will not, except as required in the performance of its obligations hereunder, copy any part of the State Programs or State Databases, prepare any translations thereof or derivative works based thereon, use or disclose any trade secret information of the STATE, or use any trademark, service mark, or tradename of the STATE, in any way or for any purpose not specifically and expressly authorized by this contract. As used herein, “trade secret information of the STATE” means any information or compilation of information possessed by the STATE, or developed by CONTRACTOR in the performance of its obligations hereunder, which derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use. “Trade secret information of the STATE” does not, however, include information which was known to CONTRACTOR prior to CONTRACTOR’S receipt thereof, either directly or indirectly, from the STATE, information which is independently developed by CONTRACTOR without reference to or use of information received from the STATE, or information which would not qualify as trade secret information under Minnesota law. It will not be a violation of this section for CONTRACTOR to disclose any information received from the STATE pursuant to the order of a court or governmental authority of competent jurisdiction if CONTRACTOR notifies the state immediately upon receipt by CONTRACTOR of notice of the issuance of such an order.
  5. **Proprietary Notices.** CONTRACTOR will advise its employees and permitted subcontractors who are permitted access to any of the State Programs, State Databases, or trade secret information of the STATE of the restrictions upon duplication, disclosure and use contained in this contract. Without limiting the foregoing, CONTRACTOR shall include in and/or on any copy or translation of, or derivative work based upon, any of the State Programs, the State Databases, or trade secret information of the STATE, or any part thereof, and any documents pertaining thereto, the same copyright and other proprietary notices as appear on the copies made available to CONTRACTOR by the STATE, except that copyright notices shall be updated and other proprietary notices added as may be appropriate.
- C. **Inspection and Return of State Property.** All documents, encoded media, and other tangible items made available to CONTRACTOR by the STATE, or prepared, generated or created by CONTRACTOR in the performance of its obligations hereunder, are and will be exclusively the property of the STATE and will be available for inspection by the STATE upon request. Upon completion of CONTRACTOR’S performance of services hereunder, CONTRACTOR will, upon the STATE’S request, promptly deliver to the

STATE any or all such documents, encoded media and other items in its possession, including all complete or partial copies, recordings, abstracts, notes or reproductions of any kind made from or about such documents, media, items, or information contained therein. CONTRACTOR and the STATE acknowledge that all computer operating systems software programs and other third party software licensed by the STATE, and related documentation, made available by the STATE to CONTRACTOR in order to permit CONTRACTOR to perform its obligations hereunder, or any translations, compilations, or partial copies thereof are and remain the property of the respective licensors.

- D. **Injunctive Relief.** CONTRACTOR acknowledges that the STATE will be irreparably harmed if CONTRACTOR'S obligations under sections XII and XIII of this contract are not specifically enforced and that the STATE would not have an adequate remedy at law in the event of an actual or threatened violation by CONTRACTOR of its obligations. Therefore, CONTRACTOR agrees that the STATE shall be entitled to an injunction or any appropriate decree of specific performance for any actual or threatened violation or breach by CONTRACTOR without the necessity of the STATE showing actual damages or that monetary damages would not afford an adequate remedy. CONTRACTOR shall be liable to the State for reasonable attorney's fees incurred by the STATE in obtaining any relief pursuant to this section.
- E. **Nondisclosure Indemnity.** Without limiting section X, CONTRACTOR agrees to indemnify, defend and save harmless the STATE and its agents, officers and employees from and against any and all claims by Third Parties that are determined in a final, non-appealable judgment by a court of competent jurisdiction to have resulted directly and proximately from CONTRACTOR'S violation of the non-disclosure provisions hereof. The STATE shall provide CONTRACTOR with prompt notice of any claim for which indemnification may be sought hereunder and shall cooperate in all reasonable respects with CONTRACTOR in connection with any such claim. CONTRACTOR shall be entitled to control the handling of any such claim and to defend or settle any such claim, in its sole discretion, with counsel of its own choosing.

XIII. **RIGHTS IN AND TO INFORMATION, INVENTIONS, AND MATERIALS.** In consideration of the facts that CONTRACTOR'S performance under this contract will involve access to and development of information which shall be trade secret information of the STATE and may involve the development by CONTRACTOR or CONTRACTOR'S participation in the development of copyrightable and/or patentable subject matter which the parties intend be owned by the STATE:

- A. All right, title, and interest in and to any trade secret information of the STATE (as defined in sections XII(B)(1),(2), and (4), above) developed by CONTRACTOR either individually or jointly with others, and which arises out of the performance of this contract, will be the property of the STATE and are by this contract irrevocably transferred, assigned, and conveyed to the STATE free and clear of any liens, claims, or other encumbrances.
- B. All copyrightable material which CONTRACTOR shall conceive or originate, either individually or jointly with others, and which arises out of the performance of this contract, shall conclusively be deemed "works made for hire" within the meaning and purview of section 101 of the United States Copyright Act, 17 U.S.C. § 101, to the fullest extent possible, and the STATE shall be the copyright owner thereof and of all elements and components thereof in which copyright protection can subsist. To the extent that any of the

foregoing does not qualify as a "work made for hire," CONTRACTOR hereby transfers, assigns and conveys the exclusive copyright ownership thereof to the STATE, free and clear of any liens, claims or other encumbrances.

- C. All right, title, and interest in and to any invention which CONTRACTOR first conceives or first reduces to practice either individually or jointly, and which arises out of the performance of this contract, will be the property of the STATE and are by this contract irrevocably transferred, assigned, and conveyed to the STATE along with ownership of any and all patents on the inventions anywhere in the world, free and clear of any liens, claims or other encumbrances. CONTRACTOR agrees to disclose promptly any such invention to the STATE. This paragraph shall not apply to any invention for which no equipment, supplies, facility or trade secret information of the STATE (as defined in Sections XII(B)(1), (2), and (4), above) was used and which was developed entirely on CONTRACTOR own time, and (a) which does not relate (i) directly to the business of the STATE, or (ii) to the STATE'S actual or demonstrably anticipated research or development; or (b) which does not result from any work performed or materials provided by CONTRACTOR for the STATE.
- D. CONTRACTOR will execute all documents and perform all other acts that the STATE may reasonably request in order to assist the STATE in perfecting its rights in and to the trade secret information of the STATE and the copyrightable and patentable subject matter identified herein, in any and all countries.
- E. Without limiting section XII or parts A, B, C, and D of section XIII of this agreement, the STATE retains all rights it possesses in and to the State Databases and State Programs made available to CONTRACTOR for purposes of permitting CONTRACTOR to perform hereunder. CONTRACTOR has no title or ownership rights, including any right to sell, resell, disclose, redisclose, recombine, reconfigure or retain the State Databases or State Programs except as expressly permitted herein to permit CONTRACTOR to complete its duties hereunder. CONTRACTOR may, however, purchase a copy of publicly-accessible versions of information contained in the State Databases and State Programs from the STATE on the same terms and to the same extent as other members of the public. Except to the extent that CONTRACTOR has purchased such copy, CONTRACTOR shall not sell, resell, disclose, redisclose, recombine, reconfigure or retain the State Databases or State Programs except as otherwise expressly provided herein.

#### XIV. AFFIRMATIVE ACTION.

- A. **Covered Contracts and Contractors.** If this contract exceeds \$100,000 and CONTRACTOR employed more than 40 full-time employees on a single working day during the previous twelve months in Minnesota or in the state where it has its principle place of business, then CONTRACTOR must comply with the requirements of Minn. Stat. § 363A.36 and Minn. R. Parts 5000.3400-5000.3600. A contractor covered by Minn. Stat. § 363A.36 because it employed more than 40 full-time employees in another state that does not have a certificate of compliance must certify that it is in compliance with federal affirmative action requirements.
- B. **Minn. Stat. § 363A.36.** Minn. Stat. § 363A.36 requires the contractor to have an affirmative action plan for the employment of minority persons, women, and qualified disabled individuals approved by the Minnesota Commissioner of Human Rights ("Commissioner") as indicated by a certificate of compliance. The law addresses suspension or revocation of a certificate of compliance and contract consequences in that event. A contract awarded

without a certificate of compliance may be voided.

C. Minn. R. Parts 5000.3400-5000.3600 provide:

1. Minn. R. Parts 5000.3400-5000.3600 implement Minn. Stat. § 363A.36. These rules include, but are not limited to, criteria for contents, approval, and implementation of affirmative action plans; procedures for issuing certificates of compliance and criteria for determining a contractor's compliance status; procedures for addressing deficiencies, sanctions, and notice and hearing; annual compliance reports; procedures for compliance review; and contract consequences for non-compliance. The specific criteria for approval or rejection of an affirmative action plan are contained in various provisions of Minn. R. Parts 5000.3400-5000.3600 including, but not limited to, parts 5000.3420-5000.3500 and 5000.3552-5000.3559.
2. **Disabled Workers.** The contractor must comply with the following affirmative action requirements for disabled workers:
  - a. The contractor must not discriminate against any employee or applicant for employment because of physical or mental disability in regard to any position for which the employee or applicant for employment is qualified. The contractor agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified disabled persons without discrimination based upon their physical or mental disability in all employment practices such as the following: employment, upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.
  - b. The contractor agrees to comply with the rules and relevant orders of the Minnesota Department of Human Rights issued pursuant to the Minnesota Human Rights Act.
  - c. In the event of the contractor's noncompliance with the requirements of this clause, actions for noncompliance may be taken in accordance with Minn. Stat. § 363A.36, and the rules and relevant orders of the Minnesota Department of Human Rights issued pursuant to the Minnesota Human Rights Act.
  - d. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the commissioner of the Minnesota Department of Human Rights. Such notices must state the contractor's obligation under the law to take affirmative action to employ and advance in employment qualified disabled employees and applicants for employment, and the rights of applicants and employees.
  - e. The contractor must notify each labor union or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the contractor is bound by the terms of Minn. Stat. § 363A.36, of the Minnesota Human Rights Act and is committed to take

affirmative action to employ and advance in employment physically and mentally disabled persons.

- D. **Consequences.** The consequences for a contractor's failure to implement its affirmative action plan or make a good faith effort to do so include, but are not limited to, suspension or revocation of a certificate of compliance by the Commissioner, refusal by the Commissioner to approve subsequent plans, and termination of all or part of this contract by the Commissioner or the STATE.
- E. **Certification.** CONTRACTOR hereby certifies that it is in compliance with the requirements of Minn. Stat. § 363A.36 and Minn. R. Parts 5000.3400-5000.3600 and is aware of the consequences for non-compliance.

XV. **INSURANCE.** Throughout the term of this contract CONTRACTOR shall maintain the insurance coverage set forth in this section. The CONTRACTOR's policy shall be the primary insurance to any other valid and collectible insurance available to the STATE with respect to any claim arising out of this contract. CONTRACTOR's insurance company waives its right to assert the immunity of the STATE as a defense to any claims made under said insurance. The CONTRACTOR is responsible for payment of insurance deductibles. Insurance companies must have an "AM Best" rating of A- (minus) and a Financial Size Category of VII or better. Required coverage:

- A. In accordance with the provisions of Minnesota Statutes, Section 176.182, as enacted, the CONTRACTOR shall provide acceptable evidence of compliance with the workers' compensation insurance coverage requirement of Minnesota Statutes, Section 176.181, subdivision 2, as enacted, prior to commencement of any duties to be performed under this contract.
- B. The Comprehensive Automobile Liability: Minimum Limits of Liability of \$1,000,000 Per Occurrence Combined Single Limit Bodily Injury and Property Damage for: Owned Automobile, Non-owned Automobile, and Hired Automobiles.
- C. Commercial General Liability: Blanket Contractual Coverage with Minimum Limits of Liability: \$1,000,000 Combined Single Limit for Bodily Injury and Property Damage per occurrence, \$2,000,000 minimum annual aggregate.
- D. Umbrella Liability: Umbrella liability with minimum limits of \$5,000,000 per occurrence and aggregate.
- E. Employer's Liability: Employer's liability insurance coverage with minimum limits of \$1,000,000 each accident.
- F. Crime Insurance: Crime insurance coverage with minimum limits of \$2,000,000 each occurrence.
- G. Lost or Damaged Records: Lost or damaged records insurance coverage for the direct and verifiable costs to recreate any lost or damaged STATE records that are capable of being recreated using commercially reasonable efforts with minimum limits of \$1,000,000 each occurrence.



Upon request of the STATE, CONTRACTOR shall be required to promptly provide a Certificate of Insurance evidencing that the above items are in force and effect during the entire term of the contract. The STATE reserves the right to request inspection of a full certified copy of insurance policies at CONTRACTOR's home office facility. All policies and certificates shall provide that the policies shall remain in force and effect throughout the term of the contract. Policies shall include endorsements that name the STATE, its officers and employees as additional insured with respect to General Liability, Automobile Liability, and/or Umbrella Liability coverages only; however, the STATE is not liable to the insurance company for any premiums, costs or assessments in connection with the CONTRACTOR's policy, as a result of being an additional insured. The CONTRACTOR shall provide the STATE with thirty (30) days' advance written notice of cancellations or non-renewals or reduction in limits or coverage or other material change, including the name of the contract, mailed to the STATE as provided in the notice clause of this Agreement. The CONTRACTOR shall maintain the insurance required above to cover claims which may arise from operations under this contract, whether such operations are by CONTRACTOR or a permitted subcontractor or by anyone directly or indirectly employed under this contract. The CONTRACTOR shall require its insurance company(ies) to waive its(their) right to assert the immunity of the STATE as a defense to any claims made under said insurance. The failure of the STATE to obtain a certificate of insurance for the insurance policies required under this contract, or the failure of the insurance company(ies) or CONTRACTOR to notify the STATE of the cancelation, non-renewal or change of the insurance policies required under this contract, shall not constitute a waiver by the STATE to the CONTRACTOR to provide such insurance policies. The STATE reserves the right to cancel this contract, upon fifteen (15) days written notice, if CONTRACTOR is not in compliance with the insurance requirements of this contract and the STATE retains all rights to pursue any legal remedies against CONTRACTOR in the event of such non-compliance.

XVI. **ANTITRUST.** CONTRACTOR hereby assigns to the State of Minnesota any and all claims for overcharges as to goods and/or services provided in connection with this contract resulting from antitrust violations that arise under the antitrust laws of the United States and the antitrust laws of the State of Minnesota.

XVII. **OTHER PROVISIONS.**

**A. Warranties.**

1. **Original Works.** In performing its obligations hereunder, CONTRACTOR will not use or incorporate any trade secret information or copyrighted works of authorship of CONTRACTOR or of any third party, and except for components already in the public domain (without any license restrictions attached thereto), all software, documentation, information and other materials provided or furnished by CONTRACTOR in performing the duties under this contract will be original and will not violate or infringe upon the rights of any third party.
2. **Professional Services; Status; Conflicts of Interest.** CONTRACTOR represents and warrants to the STATE that all professional services required hereunder will be provided exclusively by CONTRACTOR's [employee \_\_[insert employee's full legal name] ]/[subcontractor \_\_[insert subcontractor's full legal name]\_\_], which must first sign a confidentiality, participation and assignment of rights agreement in a form acceptable to the STATE] and that: (a) the [employee]/[subcontractor] has the proper training, skill and background so as to be able to perform all professional services required in this contract in a

competent and professional manner, and all such work shall be of quality; (b) the [employees]/[subcontractor's employees] assigned to work on the Project have obtained lawful permanent residence in the United States of America with a right to live and work permanently in the United States of America; and (c) CONTRACTOR has taken reasonable steps to determine if [employees]/[subcontractor's employees] (or their immediate family members) have an interest in any pending or threatened litigation or proceedings in any Minnesota state court. If CONTRACTOR becomes aware of any [employee's]/[subcontractor's employee's] interest (or that of their immediate family members) in any threatened or pending litigation or proceeding in any Minnesota state court, CONTRACTOR shall immediately notify the STATE of such interest, and CONTRACTOR acknowledges that the STATE may immediately disqualify such [employee]/[subcontractor employee] from performing services hereunder, and CONTRACTOR shall ensure that no such disqualified [employee]/[subcontractor employee] shall have any further access to the confidential information of the STATE.

3. **Mutual Representations and Warranties.** CONTRACTOR and the STATE each represent and warrant to the other that: a) it has the full right, power and authority to enter into this contract and to perform fully all of its obligations hereunder; b) it is free of any obligation or restriction that would prevent it from entering into this contract or from performing fully any of its obligations hereunder; and c) it has not entered into and will not enter into any contract which would impede the full performance of its obligations hereunder or would in any way limit or restrict the rights of the other under this contract.
4. **Immediate Notice of Loss, Damage or Disclosure.** CONTRACTOR must notify STATE immediately upon any loss or damage to STATE records, including during any shipping of records provided by CONTRACTOR, and upon any disclosures of STATE records in violation of this Agreement. CONTRACTOR understands that immediate notice is crucial to recovery efforts, including but not limited to freeze drying of water damaged records and taking steps to minimize or prevent further improper disclosures.

- B. **Patent and Copyright Indemnity.** Without limiting section X, CONTRACTOR shall indemnify the STATE and hold it harmless against any claim that the work performed or material provided hereunder infringes or violates the patent, copyright, or trade secret rights of any third party. CONTRACTOR shall pay any and all resulting costs, expenses (including attorney's fees), damages and/or liabilities associated with or resulting from any such claim.
- C. **Relationship of the Parties.** CONTRACTOR is an independent contractor and shall not be deemed for any purpose to be an employee of the STATE. CONTRACTOR understands and agrees that the STATE is not withholding any taxes from the fees paid to CONTRACTOR pursuant to this contract and that CONTRACTOR is solely responsible for any taxes and other amounts to be paid as a result of the fees paid to CONTRACTOR pursuant to this contract. Neither CONTRACTOR nor the STATE shall have the right nor the authority to assume, create or incur any liability or obligation of any kind, express or implied, against or in the name of or on behalf of the other.
- D. **Consent to Release of Certain Data.** Under Minn. Stat. § 270C.65 and other applicable

law, CONTRACTOR consents to disclosure of its social security number, federal employer tax identification number, and/or Minnesota tax identification number, already provided to the STATE, to federal and state tax agencies and state personnel involved in the payment of state obligations. These identification numbers may be used in the enforcement of federal and state tax laws which could result in action requiring CONTRACTOR to file state tax returns and pay delinquent state tax liabilities, if any.

- E. **Publicity.** Any publicity regarding the subject matter of this contract must identify the STATE as the sponsoring agency and must not be released without the prior written approval from the STATE'S Authorized Representative. For purposes of this provision, publicity includes notices, informational pamphlets, press releases, research, reports, signs, and similar public notices prepared by or for CONTRACTOR individually or jointly with others, or any subcontractors, with respect to the program, publications, or services provided resulting from this contract. Notwithstanding anything in this contract to the contrary, either party may disclose to the public the existence of this contract, the parties to the contract, and the material terms of the contract, including price, projected term, and scope of work.
- F. **Endorsement.** CONTRACTOR must not claim that the STATE endorses its products or services.
- G. **Non-Exclusivity.** This contract shall not preclude CONTRACTOR from developing materials outside this contract that are competitive, irrespective of their similarity to materials delivered to the STATE under this contract; provided, however, that such materials prepared by CONTRACTOR shall not violate the nondisclosure and intellectual property provisions of this contract. Nothing in this contract shall be construed as precluding or limiting in any way the right of CONTRACTOR to provide computer consulting and programming services or other services of any kind to any person or entity as CONTRACTOR in its sole discretion deems appropriate.
- H. **Notices.** Any written notice hereunder shall be deemed to have been received when: (A) personally delivered; (B) sent by confirmed facsimile transmission or telegram; (C) sent by commercial overnight courier with written verification of receipt; or (D) seventy-two (72) hours after it has been deposited in the United States mail, first class, proper postage prepaid, addressed to the party to whom it is intended at: (1) if to CONTRACTOR, at the CONTRACTOR'S address set forth in the opening paragraph of the contract; (2) if to the STATE, at the STATE'S address set forth in the opening paragraph of the contract, with a copy to Legal Counsel Division, 125 Minnesota Judicial Center, 25 Rev. Martin Luther King Jr., Blvd. St. Paul, MN 55155; or (3) at such other address of which written notice has been given in accordance herewith.
- I. **Facilities and Use Conditions.** Without limiting CONTRACTOR'S responsibilities under any other section of this contract, to the extent that CONTRACTOR utilizes STATE provided on-site facilities (including, but not limited to, computers, desks, Internet connections, etc.) to perform CONTRACTOR'S duties under this contract, CONTRACTOR must comply with all policies of the STATE and the Minnesota Judicial Branch as they relate to the acceptable use or operation of STATE facilities, including, without limitation, the Minnesota State Court System Policies on the Use of the Internet and Other Electronic Communication Tools and Drug Free Workplace as the same may be amended and replaced from time to time.

**J. Miscellaneous.**

1. The provisions of sections VIII, X, XI, XII, XIII, XVI, and XVII shall survive any cancellation or termination of this contract, as shall any other provisions which by their nature would be intended or expected to survive such cancellation or termination.
2. Captions are for convenient reference and do not constitute a part of this contract.
3. The failure by either Party at any time to enforce any of the provisions of this contract or any right or remedy available hereunder or at law or in equity, or to exercise any option herein provided, shall not constitute a waiver of such provision, right, remedy or option or in any way affect the validity of this contract. The waiver of any default by either Party shall not be deemed a continuing waiver, but shall apply solely to the instance to which such waiver is directed.
4. This contract shall in all respects be governed by and interpreted, construed and enforced in accordance with the laws of the United States of America and of the State of Minnesota, without regard to Minnesota's choice of law provisions. Any action arising out of or relating to this contract, its performance, enforcement or breach will be venued in a state or federal court situated within the State of Minnesota. CONTRACTOR hereby irrevocably consents and submits itself to the personal jurisdiction of said courts for that purpose.
5. Every provision of this contract shall be construed, to the extent possible, so as to be valid and enforceable. If any provision of this contract so construed is held by a court of competent jurisdiction to be invalid, illegal or otherwise unenforceable, such provision shall be deemed severed from this contract, and all other provisions shall remain in full force and effect.
6. This contract sets forth the entire agreement and understanding between the Parties regarding the subject matter hereof and supersedes any prior representations, statements, proposals, negotiations, discussions, understandings, or agreements regarding the same subject matter; provided that all terms and conditions of all preexisting contracts or agreements between the parties shall continue in full force and effect except as supplemented or modified by this contract. In the event of any inconsistency or conflict between the terms of this contract and any other agreement between the parties, the terms of this contract shall govern.

[Continued on next page with signature blocks.]

IN WITNESS WHEREOF, the parties have caused this contract to be duly executed intending to be bound thereby.

1. CONTRACTOR:

CONTRACTOR certifies that the appropriate persons have executed the contract on behalf of CONTRACTOR as required by applicable articles, by-laws, resolutions or ordinances. (If a corporation with more than one individual serving as corporate officer, two corporate officers must execute)
By: SAMPLE ONLY; NOT INTENDED AS OFFER
Title:
Date:
By: SAMPLE ONLY; NOT INTENDED AS OFFER
Title:
Date:

2. STATE:

Person signing certifies that applicable procurement policies have been followed. Where contracts and amendments exceed \$50,000, signature of state court administrator or deputy is also required.
By:
Title: Director, Information Technology Division
Date:
By:
Title: State Court Administrator or Deputy
Date:

3. Funds have been encumbered for STATE by:

By:
Title:
Date:
Contract No.:
P.O. No.:

4. Form and execution approved for STATE by:

By:
Title: Legal Counsel Division
Date:

**APPENDIX IV**  
**STATE OF MINNESOTA**  
**CONFIDENTIALITY, PARTICIPATION AND ASSIGNMENT OF RIGHTS CONTRACT**  
**SAMPLE ONLY; NOT AN OFFER**

THIS CONTRACT, and amendments and supplements thereto, is between State of Minnesota, acting through its State Court Administrator's Office (hereinafter "STATE") and \_\_\_\_\_ [insert subcontractor full legal name and address]\_\_\_\_\_ (hereinafter "SUBCONTRACTOR").

**Recitals**

The STATE has entered in to STATE contract with \_\_\_\_\_ [enter general contractor full legal name]\_\_\_\_\_, for \_\_\_\_\_ [insert general description of services]\_\_\_\_\_ services ("the Project"), to be provided by [SUBCONTRACTOR]/[SUBCONTRACTOR's employee \_\_\_\_\_ [insert employee's full legal name]\_\_\_\_\_. SUBCONTRACTOR'S participation in the Project requires, among other things, disclosure to CONTRACTOR of confidential STATE information and authorship by SUBCONTRACTOR of copyrightable subject matter which the STATE and SUBCONTRACTOR intend to be owned by the STATE. The STATE is willing to permit SUBCONTRACTOR to participate in the Project as an independent contractor under contract with \_\_\_\_\_ [enter general contractor full legal name]\_\_\_\_\_ pursuant to the terms and conditions set forth in this contract.

**Contract**

In consideration of the foregoing, of being permitted to participate in the Project under contract with \_\_\_\_\_ [enter general contractor full legal name]\_\_\_\_\_, SUBCONTRACTOR agrees as follows:

- I. **SCOPE OF, AND PAYMENT FOR, PARTICIPATION.** \_\_\_\_\_ [enter general contractor full legal name]\_\_\_\_\_ and SUBCONTRACTOR will determine the scope of SUBCONTRACTOR's engagement and the terms of their relationship with one another, and SUBCONTRACTOR will look solely to \_\_\_\_\_ [enter general contractor full legal name]\_\_\_\_\_ for payment under its contract with \_\_\_\_\_ [enter general contractor full legal name]\_\_\_\_\_.
  
- II. **TERM AND TERMINATION.** This contract shall not be effective until approved as to form and execution by the STATE's Legal Counsel Division, and upon such approval the effective date shall be deemed to be [\_\_\_\_ insert start date here\_\_\_\_]. This contract shall continue in force and effect according to its terms. The STATE may terminate this contract at any time without penalty by giving five (5) working days written notice of termination to SUBCONTRACTOR. Unless otherwise terminated as herein provided, this contract shall terminate as of midnight, [\_\_\_\_ insert termination date here\_\_\_\_].
  
- III. **INDEPENDENT OBLIGATIONS.** The obligations of SUBCONTRACTOR under this contract are unconditional and do not depend upon the performance of any agreements, duties, obligations or terms outside this contract.
  
- IV. **ASSIGNMENT AND BINDING EFFECT.** Except as expressly authorized in this contract, SUBCONTRACTOR shall neither assign nor transfer any rights or obligations under this contract without the prior written consent of the STATE. This contract shall be binding upon and inure to the benefit of the parties hereto and their respective successors and assigns, including any corporation or other legal entity into, by or with which SUBCONTRACTOR may be merged, acquired or consolidated or which may purchase all or substantially all of the business assets of SUBCONTRACTOR.

- V. **AMENDMENTS.** Any amendments to this contract shall be in writing and shall be executed by the same parties who executed the original contract, or their successors in office.
- VI. **LIABILITY.** SUBCONTRACTOR shall indemnify, save, and hold the STATE, its representatives and employees harmless from any and all claims or causes of action, including all attorney's fees incurred by the STATE, arising from the participation in the Project by SUBCONTRACTOR or SUBCONTRACTOR'S agents or employees. If SUBCONTRACTOR is an entity, SUBCONTRACTOR covenants and agrees that it shall obtain and maintain liability insurance with minimum limits of one million dollars (\$1,000,000) per claim, accident or occurrence, whichever is greater, covering injuries or damages caused by the acts or omissions of its employees. This clause shall not be construed to bar any legal remedies SUBCONTRACTOR may have for the STATE'S failure to fulfill its obligations pursuant to this contract.
- VII. **STATE AUDITS.** The books, records, documents, and accounting procedures and practices of the SUBCONTRACTOR relevant to this contract shall be subject to examination by the contracting department and the Legislative Auditor for a minimum period of six (6) years from the termination of this contract. Records shall be sufficient to reflect all costs incurred in performance of this Contract.
- VIII. **CONFIDENTIALITY; DISCLOSURE AND USE.**
- A. **General.** SUBCONTRACTOR shall not disclose to any third party any information that is both: (1) made available by the STATE to SUBCONTRACTOR in order to permit SUBCONTRACTOR to participate in the Project or is created, gathered, generated or acquired in accordance with the Project; and (2) inaccessible to the public pursuant to the Rules of Public Access to Records of the Judicial Branch promulgated by the Minnesota Supreme Court, as the same may be amended from time to time. If SUBCONTRACTOR receives a request to release the information referred to in this Clause, SUBCONTRACTOR must immediately notify the STATE. The STATE will give SUBCONTRACTOR instructions concerning the release of the information to the requesting party before the information is released. CONTRACTOR shall not use any information that is made available by the STATE to CONTRACTOR in order to permit CONTRACTOR to perform hereunder, or is created, gathered, generated or acquired in accordance with this contract, for any purpose other than performance of this contract.
- B. **State Programs, Databases, Marks.** Without limiting paragraph A, above, SUBCONTRACTOR agrees to the following:
1. **State Programs.** The computer application programs made available by the STATE to SUBCONTRACTOR in order to permit SUBCONTRACTOR to participate in the Project are referred to herein as "State Programs." The STATE is the copyright owner of the State Programs. The combination of ideas, procedures, processes, systems, logic, coherence and methods of operation embodied within the State Programs, and all analysis and design specifications, programming specifications, source code, algorithms, and information contained in technical reference manuals pertaining to the State Programs, are trade secret information of the STATE. The computer operating systems software programs and other third party software licensed by the STATE, and related documentation, made available by the STATE to SUBCONTRACTOR in order to permit CONTRACTOR to participate in the Project, are subject to claims of trade secret and copyright ownership by the respective licensors and will be treated by SUBCONTRACTOR in the same manner as trade secret information of the STATE. In addition, SUBCONTRACTOR will familiarize itself with and abide by the terms and conditions of the license agreements applicable to such third party software. Without limiting the foregoing, SUBCONTRACTOR may also be

required to sign an appropriate confidentiality agreement with the STATE's software vendor if access to proprietary segments of the MNCIS application are necessary for SUBCONTRACTOR's work hereunder.

2. **State Databases.** The computer databases made available by the STATE to SUBCONTRACTOR in order to permit SUBCONTRACTOR to participate in the Project are referred to herein as "State Databases." The STATE is the copyright owner of the State Databases and of all copyrightable aspects and components thereof. All specifications and information pertaining to the State Databases and to their structure, sequence and organization are trade secret information of the STATE. All information contained within the State Databases is sensitive, confidential information and will be treated by SUBCONTRACTOR in the same manner as trade secret information of the STATE. Without limiting any of the foregoing, SUBCONTRACTOR understands and agrees that to the extent that any records made available by the STATE or CONTRACTOR to SUBCONTRACTOR hereunder are publicly-accessible, the STATE retains all rights it possesses in and to such records and SUBCONTRACTOR has no title or ownership rights, including any right to sell, resell, disclose, redisclose, recombine, reconfigure or retain such records except: (i) as expressly required for SUBCONTRACTOR's compliance with this contract; or (ii) to the extent that it has purchased or obtained the same from the STATE on the same terms and via the same means and to the same extent as other members of the public.
  
3. **Marks.** The STATE claims that the marks "MNCIS," "CrimNet," "SJIS," and "MARS" are trademarks and service marks of the STATE or of other agencies of the state of Minnesota. SUBCONTRACTOR shall neither have nor claim any right, title, or interest in or use of any trademark, service mark, or tradename owned or used by the STATE or other agencies of the state of Minnesota.
  
4. **Restrictions on Duplication, Disclosure and Use.** SUBCONTRACTOR will not, except as required for SUBCONTRACTOR'S participation in the Project, copy any part of the State Programs or State Databases, prepare any translations thereof or derivative works based thereon, use or disclose any trade secret information of the STATE, or use any trademark, service mark, or tradename of the STATE, in any way or for any purpose not specifically and expressly authorized by this contract. As used herein, "trade secret information of the STATE" means any information or compilation of information possessed by the STATE, or developed by SUBCONTRACTOR in the performance of its obligations hereunder, which derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use. "Trade secret information of the STATE" does not, however, include information which was known to SUBCONTRACTOR prior to SUBCONTRACTOR'S receipt thereof, either directly or indirectly, from the STATE, information which is independently developed by SUBCONTRACTOR without reference to or use of information received from the STATE, or information which would not qualify as trade secret information under Minnesota law. It will not be a violation of this section for SUBCONTRACTOR to disclose any information received from the STATE pursuant to the order of a court or governmental authority of competent jurisdiction if SUBCONTRACTOR notifies the state immediately upon receipt by SUBCONTRACTOR of notice of the issuance of such an order.
  
5. **Proprietary Notices.** SUBCONTRACTOR will advise its employees and permitted subcontractors who are permitted access to any of the State Programs, State Databases, or trade secret information of the STATE of the restrictions upon duplication, disclosure and use contained in this contract. Without limiting the foregoing, SUBCONTRACTOR shall include in and/or on any copy or translation of, or derivative work based upon, any of the State Programs, the State Databases, or trade secret information of the STATE, or any part thereof, and any documents pertaining thereto,



the same copyright and other proprietary notices as appear on the copies made available to SUBCONTRACTOR by the STATE, except that copyright notices shall be updated and other proprietary notices added as may be appropriate.

- C. **Inspection and Return of State Property.** All documents, encoded media, and other tangible items made available to CONTRACTOR by the STATE, or prepared, generated or created by SUBCONTRACTOR in SUBCONTRACTOR'S participation in the Project, are and will be exclusively the property of the STATE and will be available for inspection by the STATE upon request. Upon completion of SUBCONTRACTOR'S participation in the Project, SUBCONTRACTOR will, upon the STATE'S request, promptly deliver to the STATE any or all such documents, encoded media and other items in its possession, including all complete or partial copies, recordings, abstracts, notes or reproductions of any kind made from or about such documents, media, items, or information contained therein. SUBCONTRACTOR and the STATE acknowledge that all computer operating systems software programs and other third party software licensed by the STATE, and related documentation, made available by the STATE to SUBCONTRACTOR in order to permit SUBCONTRACTOR to perform its obligations hereunder, or any translations, compilations, or partial copies thereof are and remain the property of the respective licensors.
- D. **Injunctive Relief.** SUBCONTRACTOR acknowledges that the STATE will be irreparably harmed if SUBCONTRACTOR'S obligations under sections VIII and IX of this contract are not specifically enforced and that the STATE would not have an adequate remedy at law in the event of an actual or threatened violation by SUBCONTRACTOR of its obligations. Therefore, SUBCONTRACTOR agrees that the STATE shall be entitled to an injunction or any appropriate decree of specific performance for any actual or threatened violation or breach by SUBCONTRACTOR without the necessity of the STATE showing actual damages or that monetary damages would not afford an adequate remedy. SUBCONTRACTOR shall be liable to the State for reasonable attorney's fees incurred by the STATE in obtaining any relief pursuant to this section.
- E. **Nondisclosure Indemnity.** Without limiting section VI, SUBCONTRACTOR agrees to indemnify, defend and save harmless the STATE and its agents, officers and employees from and against any and all claims by Third Parties that are determined in a final, non-appealable judgment by a court of competent jurisdiction to have resulted directly and proximately from SUBCONTRACTOR'S violation of the non-disclosure provisions hereof. The STATE shall provide SUBCONTRACTOR with prompt notice of any claim for which indemnification may be sought hereunder and shall cooperate in all reasonable respects with SUBCONTRACTOR in connection with any such claim. SUBCONTRACTOR shall be entitled to control the handling of any such claim and to defend or settle any such claim, in its sole discretion, with counsel of its own choosing.

IX. **RIGHTS IN AND TO INFORMATION, INVENTIONS, AND MATERIALS.** In consideration of the facts that SUBCONTRACTOR'S participation in the Project will involve access to and development of information which shall be trade secret information of the STATE and may involve the development by SUBCONTRACTOR or SUBCONTRACTOR'S participation in the development of copyrightable and/or patentable subject matter which the parties intend be owned by the STATE:

- A. All right, title, and interest in and to any trade secret information of the STATE (as defined in sections VIII(B)(1), (2), and (4) above) developed by SUBCONTRACTOR either individually or jointly with others, and which arises out of SUBCONTRACTOR'S participation in the Project, will be the property of the STATE and are by this contract irrevocably transferred, assigned, and conveyed to the STATE free and clear of any liens, claims, or other encumbrances.

- B. The STATE shall be the copyright owner of all copyrightable material that SUBCONTRACTOR shall conceive or originate, either individually or jointly with others, and which arises out of the performance of this contract, and of all elements and components thereof in which copyright protection can subsist. To the extent that any of the foregoing does not qualify as a "work made for hire" within the meaning and purview of section 101 of the United States Copyright Act, 17 U.S.C. § 101, SUBCONTRACTOR hereby transfers, assigns and conveys the exclusive copyright ownership thereof to the STATE, free and clear of any liens, claims or other encumbrances.
  
- C. All right, title, and interest in and to any invention which SUBCONTRACTOR first conceives or first reduces to practice either individually or jointly, and which arises out of SUBCONTRACTOR'S participation in the Project, will be the property of the STATE and are by this contract irrevocably transferred, assigned, and conveyed to the STATE along with ownership of any and all patents on the inventions anywhere in the world, free and clear of any liens, claims or other encumbrances. SUBCONTRACTOR agrees to disclose promptly any such invention to the STATE. This paragraph shall not apply to any invention for which no equipment, supplies, facility or trade secret information of the STATE (as defined in Sections VIII(B)(1), (2), and (4), above) was used and which was developed entirely on SUBCONTRACTOR'S own time, and (a) which does not relate (i) directly to the business of the STATE or (ii) to the STATE'S actual or demonstrably anticipated research or development, or (b) which does not result from any work performed or materials provided by SUBCONTRACTOR for the STATE.
  
- D. SUBCONTRACTOR will execute all documents and perform all other acts that the STATE may reasonably request in order to assist the STATE in perfecting its rights in and to the trade secret information of the STATE and the copyrightable and patentable subject matter identified herein, in any and all countries.
  
- E. Without limiting section VIII or parts A, B, C, and D of section IX of this agreement, the STATE retains all rights it possesses in and to the State Databases and State Programs made available to SUBCONTRACTOR for purposes of permitting SUBCONTRACTOR to perform hereunder. SUBCONTRACTOR has no title or ownership rights, including any right to sell, resell, disclose, redisclose, recombine, reconfigure or retain the State Databases or State Programs except as expressly permitted herein to permit SUBCONTRACTOR to complete its duties hereunder. SUBCONTRACTOR may, however, purchase a copy of publicly-accessible versions of information contained in the State Databases and State Programs from the STATE on the same terms and to the same extent as other members of the public. Except to the extent that SUBCONTRACTOR has purchased such copy, SUBCONTRACTOR shall not sell, resell, disclose, redisclose, recombine, reconfigure or retain the State Databases or State Programs except as otherwise expressly provided herein.
  
- X. [RESERVED FOR FUTURE USE]
  
- XI. [RESERVED FOR FUTURE USE]
  
- XII. **ANTITRUST.** SUBCONTRACTOR hereby assigns to the State of Minnesota any and all claims for overcharges as to goods and/or services provided in connection with the Project resulting from antitrust violations that arise under the antitrust laws of the United States and the antitrust laws of the State of Minnesota.
  
- XIII. **OTHER PROVISIONS.**
  - A. **Warranties.**

1. **Original Works.** In participating in the Project, SUBCONTRACTOR will not use or incorporate any trade secret information or copyrighted works of authorship of SUBCONTRACTOR or of any third party, and except for components already in the public domain (without any license restrictions attached thereto), all software, documentation, information and other materials provided or furnished by SUBCONTRACTOR in performing the duties under this contract will be original and will not violate or infringe upon the rights of any third party.
2. **Professional Services; Status; Conflicts of Interest.** SUBCONTRACTOR represents and warrants to the STATE that [SUBCONTRACTOR]/[all services related to the Project will be performed exclusively by SUBCONTRACTOR's employee     [insert employee's full legal name]     who is and will be acting as an employee of SUBCONTRACTOR within the meaning and purview of the "works made for hire" provision of the Copyright Laws of the United States of America and who:]:
  - a. Has the proper training, skill and background so as to be able to perform all professional integration services required for the Project in a competent and professional manner, and all such work shall be of quality;
  - b. Has obtained lawful permanent residence in the United States of America with a right to live and work permanently in the United States of America; and
  - c. Has no interest in any pending or threatened litigation or proceedings in any Minnesota state court and has no immediate family members who have any such interests.

If SUBCONTRACTOR becomes aware of any [SUBCONTRACTOR] / [SUBCONTRACTOR employee] interest (or that of [SUBCONTRACTOR's] / [SUBCONTRACTOR's employee's] immediate family members) in any threatened or pending litigation or proceeding in any Minnesota state court, SUBCONTRACTOR shall immediately notify the STATE of such interest, and SUBCONTRACTOR acknowledges that the STATE may immediately disqualify [SUBCONTRACTOR] / [SUBCONTRACTOR's employee] from performing services related to the Project, and [SUBCONTRACTOR] / [SUBCONTRACTOR's employee] shall have no further access to the confidential information of the STATE.

3. **Mutual Representations and Warranties.** SUBCONTRACTOR and the STATE each represent and warrant to the other that: a) it has the full right, power and authority to enter into this contract and to perform fully all of its obligations hereunder; b) it is free of any obligation or restriction that would prevent it from entering into this contract or from performing fully any of its obligations hereunder; and c) it has not entered into and will not enter into any contract which would impede the full performance of its obligations hereunder or would in any way limit or restrict the rights of the other under this contract.
- B. **Patent and Copyright Indemnity.** Without limiting section VI, SUBCONTRACTOR shall indemnify the STATE and hold it harmless against any claim that the work performed or material provided by SUBCONTRACTOR'S participation in the Project infringes or violates the patent, copyright, or trade secret rights of any third party. SUBCONTRACTOR shall pay any and all resulting costs, expenses (including attorney's fees), damages and/or liabilities associated with or resulting from any such claim.
- C. **Relationship of the Parties.** SUBCONTRACTOR is an independent contractor. SUBCONTRACTOR and CONTRACTOR'S employees and agents shall not be deemed for any purpose to be an employee of the STATE. Neither SUBCONTRACTOR nor the STATE shall have the right or the authority to assume, create or incur any liability or obligation of any kind, express or implied, against or in the name of or on behalf of the other.

- D. **Publicity.** Any publicity regarding the subject matter of this contract must identify the STATE as the sponsoring agency and must not be released without the prior written approval from the STATE'S Authorized Representative. For purposes of this provision, publicity includes notices, informational pamphlets, press releases, research, reports, signs, and similar public notices prepared by or for SUBCONTRACTOR individually or jointly with others, or any subcontractors, with respect to the program, publications, or services provided resulting from this contract. Notwithstanding anything in this contract to the contrary, either party may disclose to the public the existence of this contract, the parties to the contract, and the material terms of the contract, including price, projected term, and scope of work.
- E. **Endorsement.** SUBCONTRACTOR must not claim that the STATE endorses its products or services.
- F. **Non-Exclusivity.** This contract shall not preclude SUBCONTRACTOR from developing materials outside this contract that are competitive, irrespective of their similarity to materials delivered to the STATE under SUBCONTRACTOR'S participation in the Project; provided, however, that such materials prepared by SUBCONTRACTOR shall not violate the nondisclosure and intellectual property provisions of this contract. Nothing in this contract shall be construed as precluding or limiting in any way the right of SUBCONTRACTOR to provide computer consulting and programming services or other services of any kind to any person or entity as SUBCONTRACTOR in its sole discretion deems appropriate.
- G. **Notices.** Any written notice hereunder shall be deemed to have been received when: (A) personally delivered; (B) sent by confirmed facsimile transmission or telegram; (C) sent by commercial overnight courier with written verification of receipt; or (D) seventy-two (72) hours after it has been deposited in the United States mail, first class, proper postage prepaid, addressed to the party to whom it is intended at: (1) the address first set forth herein, if to SUBCONTRACTOR; (2) at 145 Minnesota Judicial Center, St. Paul, MN 55155, if to the STATE, with a copy to Legal Counsel Division, 125 Minnesota Judicial Center, 25 Rev. Martin Luther King Jr., Blvd. St. Paul, MN 55155; or (3) at such other address of which written notice has been given in accordance herewith.
- H. **Facilities and Use Conditions.** Without limiting SUBCONTRACTOR's responsibilities under any other section of this contract, to the extent that SUBCONTRACTOR utilizes STATE provided on-site facilities (including, but not limited to, computers, desks, Internet connections, etc.) to perform SUBCONTRACTOR's duties under this contract, SUBCONTRACTOR must comply with all policies of the STATE and the Minnesota Judicial Branch as they relate to the acceptable use or operation of STATE facilities, including, without limitation, the Minnesota State Court System Policies on the Use of the Internet and Other Electronic Communication Tools and Drug Free Workplace as the same may be amended and replaced from time to time.
- I. **Miscellaneous.**
1. The provisions of sections III, IV, VI, VII, VIII, IX, XII, and XIII shall survive any cancellation or termination of this contract, as shall any other provisions which by their nature would be intended or expected to survive such cancellation or termination.
  2. Captions are for convenient reference and do not constitute a part of this contract.
  3. The failure by either Party at any time to enforce any of the provisions of this contract or any right or remedy available hereunder or at law or in equity, or to exercise any option herein provided, shall not constitute a waiver of such provision, right, remedy or option or in any way affect the validity of this contract. The waiver of any default by either Party shall not be deemed a continuing waiver, but shall apply solely to the instance to which such waiver is directed.

4. This contract shall in all respects be governed by and interpreted, construed and enforced in accordance with the laws of the United States of America and of the State of Minnesota, without regard to Minnesota's choice of law provisions. Any action arising out of or relating to this contract, its performance, enforcement or breach will be venued in a state or federal court situated within the State of Minnesota. SUBCONTRACTOR hereby irrevocably consents and submits itself to the personal jurisdiction of said courts for that purpose.
  
5. Every provision of this contract shall be construed, to the extent possible, so as to be valid and enforceable. If any provision of this contract so construed is held by a court of competent jurisdiction to be invalid, illegal or otherwise unenforceable, such provision shall be deemed severed from this contract, and all other provisions shall remain in full force and effect.
  
6. This contract sets forth the entire agreement and understanding between the Parties regarding the subject matter hereof and supersedes any prior representations, statements, proposals, negotiations, discussions, understandings, or agreements regarding the same subject matter; provided that all terms and conditions of all preexisting contracts or agreements between the parties shall continue in full force and effect except as supplemented or modified by this contract. In the event of any inconsistency or conflict between the terms of this contract and any other agreement between the parties, the terms of this contract shall govern.

[Continued on next page with signature blocks.]

IN WITNESS WHEREOF, the parties have caused this contract to be duly executed intending to be bound thereby.

1. SUBCONTRACTOR:

SUBCONTRACTOR certifies that the appropriate persons have executed the contract on behalf of SUBCONTRACTOR as required by applicable articles, by-laws, resolutions or ordinances.

(If a corporation having more than one individual serving as corporate officers, two corporate officers must sign.)

2. STATE:

By: SAMPLE ONLY, NOT INTENDED AS OFFER
Title:
Date:

By:
Title:
Date:

By: SAMPLE ONLY, NOT INTENDED AS OFFER
Title:
Date:

3. Approved as to form and execution by the STATE'S Legal Counsel Division:

By:
Title:
Date:

ACKNOWLEDGMENT

\_\_\_\_ [enter general contractor full legal name] \_\_\_\_\_ hereby acknowledges and approves the foregoing and agrees that the same shall supersede any inconsistent provisions of any agreement between \_\_\_\_ [enter general contractor full legal name] \_\_\_\_\_ and \_\_\_\_\_ [insert subcontractor full legal name] \_\_\_\_\_.

\_\_\_\_ [enter general contractor full legal name] \_\_\_\_\_

By: SAMPLE ONLY, NOT INTENDED AS OFFER
Title:
Date:

**APPENDIX V**  
**CONFIDENTIALITY AND DISCLOSURE OF INTEREST FORM**  
**SAMPLE ONLY; NOT AN OFFER**

I. CONFIDENTIALITY.

I, \_\_\_\_\_, an employee of CONTRACTOR (“CONTRACTOR”), acknowledge that CONTRACTOR has been granted certain access to non-public data and records of the State of Minnesota (the “STATE”) pursuant to a [CONTRACT] (“Contract”) between CONTRACTOR and the STATE. I further acknowledge that such information has tangible value, contains valuable trade secrets, copyrights and confidential information of the STATE and other parties.

To the extent that I come into possession of any non-public data or records (including, without limitation, non-public data or records as defined in the Rules of Public Access to Records of the Judicial Branch promulgated by the Minnesota Supreme Court, as the same may be amended from time to time) or any proprietary or confidential information of the STATE or any third party, I will not use any such information for any purpose other than performance of the Contract and will not disclose any such information to any third party without the STATE’s consent, except: (a) as may be required by law, regulation, judicial or administrative process; or (b) as required in litigation pertaining to this Agreement, provided the STATE is given advance notice of such intended disclosure in order to permit the STATE the opportunity to seek a protective order; or (c) to the extent such information (i) becomes publicly available (including, without limitation, any information filed with any governmental agency and available to the public) other than as a result of a disclosure by CONTRACTOR in breach of its obligations under the Contract or disclosure by me in breach of this Agreement, (ii) becomes available to CONTRACTOR or to me on a non-confidential basis from a source other than the STATE, which is not prohibited from disclosing such information to CONTRACTOR or to me by obligation to the STATE, (iii) is known by CONTRACTOR or to me prior to its receipt from the STATE without any obligation of confidentiality with respect thereto; or (iv) is developed by CONTRACTOR or by me independently of any disclosures made by the STATE to CONTRACTOR or to me of such information.

In addition, I understand and agree that to the extent that any records made available by the STATE to me are publicly-accessible, the STATE retains all rights it possesses in and to such records, and I have no title or ownership rights, including any right to sell, resell, disclose, redisclose, recombine, reconfigure or retain such records except: (i) as expressly required for CONTRACTOR’s compliance with the Agreement; or (ii) to the extent that I have purchased or obtained the same from the State on the same terms and via the same means and to the same extent as other members of the public.

In addition, I shall not sell, resell, disclose, redisclose, recombine, reconfigure or retain the Data, Records, Documents, Information, or Information Databases, or Original Documents transmitted to or from the STATE under the Contract except as otherwise expressly provided in the Contract, subject to the exceptions set forth in items (a), (b) and (c) in the preceding

paragraph. I agree that my obligations with respect to the confidentiality and security of all information disclosed to me shall survive the termination of any agreement or relationship between the STATE and CONTRACTOR and/or me.

I acknowledge and agree that a breach by me of any of the covenants set forth in this Agreement will cause irreparable injury to the STATE or others for which damages, even if available, will not constitute an adequate remedy. Accordingly, I agree that the STATE, in addition to any other remedy available at law or in equity, shall be entitled to the issuance of injunctive relief (including, without limitation, specific performance) in order to enforce the covenants and agreements contained herein.

If attorneys' fees or other costs are incurred by the STATE to secure performance of any obligations under this Agreement, or to establish damages for the breach thereof or to obtain any other appropriate relief, whether by way of prosecution or defense, and the STATE is the prevailing party, the STATE will be entitled to recover from me reasonable attorneys' fees and costs incurred in connection therewith.

This Agreement shall be interpreted in accordance with the laws of the state of Minnesota. Any action arising out of or relating to this Agreement, its performance, enforcement or breach, will be venued in a state court situated within Ramsey County, Minnesota.

ACKNOWLEDGED AND ACCEPTED:

CONTRACTOR

By: \_\_\_\_\_  
Employee Signature

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

\_\_\_\_\_  
Name (please print)

Name: \_\_\_\_\_  
(please print)

Date: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

II. DISCLOSURE OF INTEREST.

I, \_\_\_\_\_ (Print Name), hereby certify that neither I, nor any member of my immediate family, is a party to any pending or threatened lawsuit or proceeding in any Minnesota state court.

\_\_\_\_\_  
Employee Signature

Date: \_\_\_\_\_

\_\_\_\_\_  
Name (please print)