STATE OF IDAHO
OFFICE OF THE SECRETARY OF STATE

Request for Information (RFI)
RFI-2016-11

for

Corporate Division/Business Registration System and Related Applications (UCC/Notary/Trademark/Apostille/Doc. Mgmt)

Issue Date: Nov 1, 2016
Response Due Date: Dec 1, 2016, 2:30 pm MT

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1.0 Introduction

The duties of the Idaho Secretary of State are enumerated in Article IV, Section 1 of the Constitution of the State of Idaho, and within Title 67, Chapter 9 of Idaho Code. Charged with the custody of records for the state, the Secretary of State manages three primary divisions: Corporate (Business), Legislative Affairs, and Elections. While the last is the division most commonly identified with the Secretary of State, the first two produce a tremendous amount of document related data, and in recent years, are the divisions with the greatest technological challenges and where customer expectations are falling behind in an increasingly technological era.

The State of Idaho (State) Office of the Secretary of State (SOS) is issuing this Request for Information (RFI) to gather current market information on comprehensive Secretary of State software solutions, including functionality for Corporate Registration, Notary, Universal Commercial Code (UCC), Trademark, Apostille additional Legislative Affairs functions.

Within the Legislative Affairs division, the SOS is seeking a document management program that will allow for recording and archival of the many legislative and executive branch documents recorded with the SOS, including pardons, appointments and oaths, proclamations, session laws, and others detailed further in section 2.1 of this document.

In addition, this RFI also requests information on associated systems integration services to assist the SOS in planning for the implementation of such a system.

1.1 Intent of RFI

Prospective software and systems integration vendors ("Respondents") are strongly encouraged to respond to this RFI. The information received in response to this RFI will help determine the structure and content of any future solicitations for SOS software and implementation services. Respondent input is greatly appreciated.

This is not a solicitation for quotations, bids or proposals. No contract award will result from this RFI. The Secretary of State may contact Respondents, at its sole discretion, for additional information following the RFI, including product demonstrations, presentations, or interviews. The Secretary of State shall not be obligated to contact any Respondent, to purchase goods or services related to this RFI from any Respondent, or to use the content of any response in a future RFP.

The Secretary of State anticipates scheduling presentations with Respondents that meet a reasonable level of responsiveness to the RFI and offer products and services consistent with the scope of this initiative. However, the Secretary of State is not obligated to hold vendor presentations or to conduct meetings with all vendors who respond.

Response to this RFI is NOT mandatory to be considered for any future solicitation.

1.2 Scope Overview

For the purpose of this RFI, the "in-scope functions" of the project shall generally fall into two categories: 1) "Corporate Solutions" and 2) "Legislative Affairs Solutions". Further breakdown of these two individual functions is included in section 2.1. The Corporate Solutions and Legislative Affairs Solutions shall be jointly referred to in this RFI as the "SOS Solutions."

1.3 Purpose

The SOS's purpose in issuing this RFI is to obtain information to assist SOS leadership in determining the best path, timeline, and relative costs associated with acquiring and implementing a comprehensive software solution and infrastructure upgrade for the Corporate and Legislative Affairs divisions. Through this RFI, the SOS wishes to obtain information that can assist the SOS to:

- Establish a shared, high-level understanding of current and potential future SOS software suites and associated technologies;
- Consider the degree to which commercially-available SOS software systems are likely to meet the SOS office's ministerial business requirements;
- Learn more about the pros and cons of various technology options, including cloud-based/managed service platforms, and software-as-a-service (SaaS);
- Obtain cost estimates for SOS software, including licensing/subscription fees, annual maintenance costs, hosting fees, and other potential ongoing costs that can be used for budgetary and planning purposes;
- Obtain planning estimates of the time requirements to install, configure, and deploy and test the SOS Solutions; and
- Compare alternative solutions, consider future-state possibilities, and draw conclusions to shape future planning processes and potential solicitations.

1.4 Preferred Respondent Qualifications

Respondents should be able to meet the following criteria:

<u>SOS Software Respondents</u>

- All Corporate Solutions software should be provided by the same software provider. The State acknowledges that certain specialized functions within the Legislative Affairs Solutions software may require third-party software solutions.
- The SOS prefers that the Respondents' proposed SOS Solutions software has been implemented in a production environment for a U.S. state government SOS office.

Systems Integration Respondents

- The SOS prefers that systems integration Respondents be certified by one or more SOS software providers to implement software suites that will meet the SOS Solutions.
- The SOS prefers that systems integration Respondents have successfully implemented SOS Solutions software for a U.S. state government or that the Respondents have similar enterprise level experience.

1.5 Background

In June of 2015, Secretary of State Lawerence Denney began to assess the state of the office's existing IT infrastructure, business processes, and software applications.

The timeline below provides a backdrop to the existing state of affairs.

- In 1996, the SOS corporate division's data entry processes and software were upgraded from a mainframe system to a Sybase database. It is believed that other functions of the SOS office (elections, legislative affairs) were upgraded (to a Sybase database) around the same time.
- In 2007, these functions were supposed to begin migration from Sybase to Microsoft SQL, with new applications written in C++. The intent of the project was to eliminate the Sybase database entirely. The Elections division, however, was the only division whose functions were actually migrated to Microsoft SQL, and the project stalled in 2009.
- No documentation or project plans existed or are known to exist.
- The Sybase database has not been updated since 2007 and progress on the remaining unconverted applications has been minimal.
- All Corporate functions, and all but 2 current Legislative Affairs functions still connect to this Sybase database. The applications and workflows for these functions were developed circa 2007.
- The SOS only has one programmer proficient in PowerBuilder, the application development tool for Sybase, and he is retirement eligible at present.
- Existing functions do not have any of the now-common technological considerations like online payment, electronic signature, and even email notification.

The Secretary of State has begun planning for the replacement of all Sybase connected software applications, with long-term goals summarized as follows:

- Increase the efficiency and effectiveness of administrative processes via enhanced functionality and integration;

- Enable greater access to more accurate, consistent, accessible, and timely information through integrated systems and modern reporting tools;
- Reduce technology risks presented by the aging legacy systems whose technologies and staffing expertise are increasingly difficult to maintain;
- Enable the SOS to move to vendor-supported commercial off-the-shelf (COTS) software that can be updated/upgraded to leverage new features and meet new business and statutory requirements;
- Have a sleeker, more secure and user-friendly interface.

Additional background information may be provided to Respondents on a case by case basis should a specific technical question arise.

2.0 Scope Details

The State is considering replacement of approximately 2/3 of its administrative systems and consumer facing systems, including those of the Corporate and Legislative Affairs divisions (see Section 2.1: for more details). Additionally, the SOS would like to replace the underlying technical infrastructure supporting those systems with a more modern infrastructure (see Section 2.2 for more details). The SOS's ideal solution is one that can be adopted with little to no software customization. Ideally, the SOS Solutions would be delivered on a modern, scalable technology platform that will be functionally and technically viable for the foreseeable future.

The SOS would like a Respondent who can seamlessly integrate and implement SOS Solutions into the SOS website and assimilate the new SOS Solutions functions with current and future SOS office practices. As part of this implementation process, Respondent should be willing to provide support to SOS personnel so they can successfully adapt to the new software and business processes anticipated from the initiative. For more information on integration and implementation, see Section 2.3.

2.1 Software Functional Scope

The Secretary of State would like a tightly integrated and comprehensive software solution. The SOS recognizes that third-party software may be required to meet specific requirements within the Legislative Affairs Solutions, but would prefer that the Corporate Solutions software be from the same manufacturer.

Based on the functions performed within each division of the Idaho Secretary of State office, the anticipated scope for core functionality includes:

Corporate Solutions

- All functions typically associated with the online or in-person submittal and subsequent processing of corporate filings (LLC, LLP, Corp, ABN/DBA, amendments, annual reports, etc.)
- All functions typically associated with the online or in-person submittal and subsequent processing of notary applications (training verification, bond verification, etc.)
- All functions typically associated with the online or in-person submittal and subsequent processing of Universal Commercial Code filings and lien filings (UCC1, 3, 5, 11, etc.; Med, Ag, and State Liens) for a USDA Central Registry state.
- All functions typically associated with the in person submittal and recording of Apostilles
- All functions typically associated with the online or in-person submittal and subsequent processing of state trademarks
- All functions typically associated with the online or in-person submittal and subsequent processing of various payment methods (cc, check, cash, prepaid account)

Legislative Affairs Solutions

In general, the SOS office is responsible for tracking the following documents upon their creation. *Unless otherwise noted, the typical data tracked would likely include date of issue, name of recipient, a summary field, a comment field, and associated document images.*

- Oaths and Appointments
- Gubernatorial Proclamations
- Pardons, Extraditions
- Tort Claims (Date/time rcv'd, type, claimant, desc, date of incident, doc images)
- Summons and Complaints
- Session Laws (session, doc #, summary, detail)
- Will Registry
- Advanced Heath Care Directive Registry (information specific to state form)
- Address Confidentiality Program (name, fwd address, ID#)

Financial connectivity/reconciliation/auditing

Filings across all SOS divisions involve collection of statutorily regulated fees which must be tracked by associated software. Data from these transactions must then be

submitted to an existing FISCAL system for accounting purposes. As such, the proposed solution must be capable of, at minimum:

- Tracking In-bound checks and/or cash for mailed documents and connecting those payments to or splitting payment amongst multiple documents.
- Providing payment options for both pre-paid account balances and credit card payment (online and walk-up)
- Transfer of financial data to/from SOS Fiscal and/or Idaho STARS accounting systems. (Deposits, revenues, refunds)
- Integration with SOS's choice of any PCI compliant merchant services provider for cc processing

2.2 Technical Delivery Scope

The SOS currently maintains its' systems in an on premises data center. However, the SOS would like Respondent to discuss benefits and limitations of possible offsite, secure, managed services, including options for cloud-based, or SaaS technical delivery models. If a cloud-based solution is recommended, Respondent should be ready and able to disclose the physical location of the servers.

Associated web access points (consumer and in-office users) should be on the https (encrypted, secure) domain, and utilize modern encryption and SSL protocols to protect data transmissions.

The SOS is seeking recommendations for a go-live date of September 2018.

Respondents are encouraged to communicate the advantages of various deployment options that may be available for the SOS Solutions software. Respondent should also communicate the planned future direction of their products to support or transition to alternative deployment models in the future.

2.3 Implementation Services Scope

Implementation service Respondents should offer a complete and comprehensive set of services to ensure project success. Implementation and integration services would likely include:

- Project Management;
- Business Process Redesign;
- Software Configuration;
- Development:
    - Enhancements and Modifications (if applicable),

  - Integration and Automated Interfaces,
  - Custom Reports, Queries, and Forms,
  - Custom Workflows,
  - Data conversion/migration from Legacy system (Sybase) to SQL ('12+)
  - Data conversion/migration from existing SQL (05) to current SQL ('12+) (2 LA functions)
  - Workaround Development (as may be needed for SaaS solutions);
- Security Configuration;
- Testing;
- Organizational Change Management and Communications;
- End-User Training;
- Documentation;
- Knowledge Transfer;
- Deployment (Roll-Out) Support; and
- Post-Implementation Support.

2.4 Preliminary Implementation Timeline and Phasing

For purposes of this RFI, the SOS wishes to assume a hypothetical timeline with implementation beginning as soon as possible after the necessary funding becomes available to ensure successful completion of the project. The SOS has submitted a supplemental budget request to cover this project. If the budgetary request is granted, funds could be available as soon as April 1, 2017.

Due to the existing state of the legacy system and other factors, the SOS is considering an accelerated procurement timeline. The SOS intends to utilize the time preceding the release of any subsequent RFP to begin specific pre-implementation activities such as documenting "as-is" business processes, documenting agency requirements, gathering reporting requirements, recruiting team members, and other activities intended to decrease implementation time, cost, and risk.

The SOS would like to implement the Corporate Solutions first and then the Legislative Affairs Solutions second. However, the SOS would welcome alternative timelines or phasing if it would result in reduced costs and/or risks associated with the overall project.

2.5 Key Assumptions

The Respondent should use the following assumptions when responding to this RFI:

- The Secretary of State currently has 27 full time employee (FTP) positions. For the sake of this RFI, please use the following assumptions for department personnel (for seat/license considerations):
  - → Corporate Division: 10
  - → IT: 6
  - → Fiscal: 3
  - → Executive: 3
- Implementation start date will be no earlier than April 1, 2017. The actual implementation start date will be determined by a variety of factors, including staffing, funding availability, legislative approvals, and timing of the SOS's accelerated procurement process. Respondents are encouraged to reply with a recommended solution consistent with the State's hypothetical implementation start date of April 1, 2017.
- A "big bang" approach of delivering all functionality to all divisions at the same time appears that it may overload existing SOS resources during the requirements gathering and data conversion phases. As such, it is assumed that a staggered timeline would be preferred. The Respondents should assume a phased implementation, OR PROVIDE AN ALTERNATIVE SCHEDULE IF RESPONDANT FEELS STRONGLY THAT IT IS A BETTER OPTION.
- The SOS would prefer to consider an off-site (cloud), managed scenario for the technology used to deliver the SOS solution.
- The SOS would like to have services available to the public (go-live) on the new system by mid to late 2018. (No later than 9/2018)
- The SOS desires responses to this RFI based on these assumptions but is not intending to unduly constrain its options. Respondents are invited to present innovative or alternative solutions that could be beneficial to the Secretary of State, both in function and in scope.

3.0 Instructions to Respondent

3.1 RFI Timeline

The SOS anticipates following the tentative schedule shown below.

Event	Date and Time
Release RFI	November 1, 2016

Written Questions Due	November 14, 2016, 5:00 pm Mountain Time
Q&A Responses Posted	By November 21, 2016
RFI Reponses Due	December 1, 2016, 2:30 pm Mountain Time

3.2 Contact

This RFI is issued by the Office of the Secretary of State. Chad Houck, Director of Special Projects, will function as the sole point of contact during this process. Respondent questions concerning all matters pertaining to this RFI may be sent via email at any time but no later than the date and time outlined in Section 3.1. Email messages should reference "RFI 2016-11" in the subject line and be addressed to:

Chad Houck, Dir of Special Projects
chouck@sos.idaho.gov

Respondent submissions to the RFI must be received at the following location or via email prior to the date and time specified in Section 3.1:

Physical delivery:
Idaho Secretary of State
Attn: Chad Houck
450 N 4th Street
Boise, ID 83720

Via email:
chouck@sos.idaho.gov

3.3 Submission of Response

Do not attempt to submit your response electronically through IPRO. Responses to this RFI are due no later than the due date and time identified as "RFI Responses Due" in Section 3.1, and should be delivered by one of the following methods:

- Mail, express delivery, or hand delivery – Sealed and clearly labeled "SOS Software Solution – RFI Response" on the outside of the package. Enclose one (1) unencrypted thumb drive containing electronic copies of all files in either Microsoft Word, Microsoft Excel or PDF format (please make sure that the response is word-searchable); or
- Email – Email addressed to the contact in Section 3.3 with the subject line titled, "SOS Software Solution – RFI Response". Attach one (1) electronic copy of all files in either Microsoft Word, Microsoft Excel or PDF format (please make sure that the response is word-searchable).

If Respondent wishes to submit a redacted copy of the response in accordance with Section 3.6, those additional files should be clearly marked as "redacted" and submitted along with the primary copy as described above. Redacted versions are not required to be word-searchable.

3.4 State Not Responsible for Costs

Costs of preparing a response are the sole responsibility of the Respondent submitting the response. The Office of the Secretary of State and/or the State of Idaho shall not provide reimbursement for such costs and shall not be liable for any response preparation costs. Furthermore, there is no guarantee that a procurement of SOS software and/or implementation services will take place as a result of this RFI.

3.5 Public Records and Trade Secrets

All materials submitted in response to this RFI become the property of the State. The responses may be open for review by the public in accordance with State public records law and federal freedom of information requirements.

The Idaho Public Records Law, Idaho Code Sections 74-101 through 74-126, allows the open inspection and copying of public records. Public records include any writing containing information relating to the conduct or administration of the public's business prepared, owned, used, or retained by a State Agency or a local agency (political subdivision of the state of Idaho) regardless of the physical form or character. All, or most, of the information contained in your response to this RFI will be a public record subject to disclosure under the Public Records Law.

The Public Records Law contains certain exemptions. One exemption potentially applicable to part of your response may be for trade secrets. Trade secrets include a formula, pattern, compilation, program, computer program, device, method, technique or process that derives economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by other persons and is subject to the efforts that are reasonable under the circumstances to maintain its secrecy. If you consider any material that you provide in your RFI response to be a trade secret, or otherwise protected from disclosure, you **MUST** so indicate by marking as "exempt" **EACH PAGE** containing such information. Marking your entire Bid, Proposal or Quotation as exempt is not acceptable or in accordance with the Solicitation or the Public Records Law and **WILL NOT BE HONORED**.

In addition, a legend or statement on one (1) page that all or substantially all of the response is exempt from disclosure is not acceptable or in accordance with the Public Records Law and **WILL NOT BE HONORED**. Prices that you provide in your RFI response are not a trade secret. The State, to the extent allowed by law and in accordance with these Solicitation Instructions, will honor a designation of nondisclosure. Any questions regarding the applicability of the Public Records Law should be addressed to your own legal counsel **PRIOR TO SUBMISSION** of your RFI response.

If your RFI response contains information that you consider to be exempt, you must also submit an electronic redacted copy of the RFI response with all exempt information removed or blacked out. The State will provide this redacted RFI response to requestors under the Public Records Law.

Submitting Respondents must also:

1. Identify with particularity the precise text, illustration, or other information contained within each page marked "exempt" (it is not sufficient to simply mark the entire page). The specific information you deem "exempt" within each noted page must be highlighted, italicized, identified by asterisks, contained within a text border, or otherwise be clearly distinguished from other text or other information and be specifically identified as "exempt."

2. Provide a separate document with your RFI response entitled "List of Redacted Exempt Information," which provides a succinct list of all exempt material noted in your RFI response. The list must be in the order in which the material appears in your RFI response, identified by Page#, Section#/Paragraph#, Title of Section/Paragraph, specific portions of text or other information; or in a manner otherwise sufficient to allow the State to determine the precise material subject to the notation. Additionally, this list must identify with each notation the specific basis for your position that the material be treated as exempt from disclosure.

Vendor shall indemnify and defend the State against all liability, claims, damages, losses, expenses, actions, attorney fees and suits whatsoever for honoring a designation of exempt or for the Vendor's failure to designate individual documents as exempt. The Vendor's failure to designate as exempt any document or portion of a document that is released by the State shall constitute a complete waiver of any and all claims for damages caused by any such release. If the State receives a request for materials claimed exempt by the Vendor, the Vendor shall provide the legal defense for such claim.

4.0 Response Items

The SOS requests that Respondents include the following sections in their response, referencing the same numbering system as used in this section. The information provided should address the specific response items and be informative and concise. Note that Section 4.3 is specific to providers of SOS software. Section 4.4 is specific to providers of implementation services. Sections 4.3 or 4.4 may be marked as "N/A" by Respondents, as appropriate. For Respondents replying as both providers of software and implementation services, all Sections should be completed.

4.1 Introductory Materials

4.1.1 **Transmittal Letter.** Please provide a transmittal letter that includes the following:

- Legal entity name of the Respondent;
- Brief description of how the Respondent meets any of the preferred Respondent qualifications as set forth in Section 1.4;
- Name, mailing address, telephone number, and email address of the Respondent's contact person; and
- Signature of a company official empowered to represent the Respondent.

4.1.2 **Table of Contents.** Please include a table of contents that clearly identifies and denotes the location of each section of the response.

4.2 Executive Summary

Respondents are required to include an Executive Summary. The maximum length of the Executive Summary should be 2-3 pages. This section is intended to provide a clear and concise understanding of key aspects of the response, including a summary of the SOS Solutions and services recommended in response to the RFI and why those products and/or services represent a "best value" solution for the SOS.

4.3 Narrative Questions Regarding SOS Software Solution

4.3.1 **SOS Solution Overview.** This section is intended to be an overview of the SOS software solution offered. Please provide an overview of the Respondent's core SOS software and the components or modules proposed to meet the SOS's requirements as listed in section 2.1 – Software Functional Scope. If elements of section 2.1 cannot be met by the Respondent's software, Respondents should suggest the third-party products or alternative approaches they would use to meet the functional scope. Respondents should also include an explanation of why they recommend the use of such third-party products/alternative approaches over other products/alternatives..

4.3.2 **Technical Platform.** Describe the *recommended* technical delivery platform for your product. As appropriate, describe the architecture that supports the SOS Solutions, and critical technical components that are required. If the proposed SOS Solutions can be deployed on multiple platforms, provide a brief description of alternate platforms available, and discuss advantages or disadvantages that the SOS should consider when selecting the technical platform.

4.3.3 **SaaS Functionality.** Some state governments appear hesitant to adopt SaaS functionality due to concerns that, in general, current public sector functionality and security of SaaS products is not as mature as traditional on-premises licensed software. What is your position on this concern and how do you support that position?

4.3.4 **Reporting and Analytics.** Describe the delivered analytics/reporting functionality of the proposed SOS Solutions, any flexibility for the creation of custom reports, and how the SOS could leverage any applicable custom reports technology to improve productivity or services.

4.4 Narrative Questions Regarding Implementation Services

4.4.1 **Project Management Methodology.** Describe how your firm would implement the project and how it would manage the project from beginning to end.

4.4.2 **Project Roles.** Based upon the planned scope and timeline of the project defined by the SOS, describe the project roles and positions that would be provided by the implementation services firm and those required of the State

4.4.3 **Testing Tools.** Describe any tools included in your implementation approach that facilitate thorough and efficient functional testing of the system.

4.4.4 **Organizational Change Management.** Describe your approach to organizational change management and communications for a project of this nature.

4.4.5 **Timeline Recommendations.** Describe any recommended changes to the SOS's implementation strategy and timeline based on your experience with similar projects in the public sector. Please suggest any alternatives that may result in cost savings, risk reduction, or other strategic benefits.

4.5 Additional Topics for All Respondents

4.5.1 **Pre-Implementation Activities.** Describe any suggested activities that the SOS could complete prior to the start of project implementation that would accelerate or better facilitate the implementation effort.

4.5.2 **RFP Contents.** Understanding that an RFP issued as part of an SOS procurement process would, by nature, be a more comprehensive document, describe any additional information Respondents would like to see in an RFP that would allow a more comprehensive response to the RFP.

4.6 Response to Cost Schedules

Attachment 5.1 – Cost Schedules are a required component of the Respondent's reply and shall be submitted using the Excel format provided. As the project scope and timeline will be further refined in any subsequent RFP, Respondents will not be constrained in any way regarding estimated costs submitted as part of this RFI.

The SOS intends to view these responses as planning estimates to assist in validating or refining the estimate cost. This is an important step in the SOS's plan to obtain funding for the project, and Respondents' diligence in providing your best estimates is appreciated.

Instructions for completion of the applicable cost schedules are included in the Excel file. Other response items and guidance regarding cost are listed below.

4.6.1 **Software Costs.** In addition to the cost schedules, describe the pricing model used for the estimated cost provided in your response. Discuss the typical payment terms and the method of determining future cost adjustments on a year over year basis (e.g., general price increases, changes in user counts, etc.).

4.6.2 **Cost Assumptions.** List any key assumptions used in the Respondent's estimated cost response.

5.0 Attachments

5.1 Cost Schedules

Respondents should download the Excel file containing the cost schedules from the Idaho Secretary of State website at: https://www.sos.idaho.gov/rfi/