REQUEST FOR INFORMATION

2023-RFI-001
Government Professional Licensure System RFI

Notice to Vendors
Responses Due: February 10, 2023, 11:00AM CST

SECTION 1 -- OVERVIEW

1.1   Purpose
The objective of this Request for Information ("RFI") is to solicit responses from potential providers/vendors of Government Professional Licensure systems ("Respondents").

This RFI has been issued to obtain information only and is not intended to result in a contract or vendor agreement with any Respondent. The Office of the Chief Information Officer ("OCIO") is seeking vendor community insight and information prior to developing business, functional, operational, and technical requirements for a Request for Proposal (RFP). There is no definitive plan to purchase any business services, equipment and/or software at this time as a result of responses to this RFI.

This solicitation for information does not commit the State to publish a RFP or award a contract. The issuance of a RFP, as a result of information gathered from these responses, is solely at the discretion of the State. Should a RFP be issued, it will be open to all qualified vendors. Responding to this RFI is not a pre-qualification process.

After information from this RFI is fully evaluated, and depending on funding and other factors, a Request for Proposal (RFP) may be published by the OCIO to select a vendor for specific work to be done which would result in a contract.

1.2   Background Information
In 2014, multiple different state executive branch agencies were looking to renew, replace, or purchase licensing systems. At the time, OCIO was asked to assist these agencies in finding solutions that fit their requirements. In order to help those agencies, OCIO released an RFI that year looking for marketplace information about licensing systems. As a continued duty of the OCIO to approve information technology for use by agencies and other government entities, the OCIO is looking to refresh and update its information pertaining to Government Professional Licensing systems to better support the State of Iowa.

1.3   Response Instructions
The OCIO requests that responses adhere to the following instructions:

1.3.1   RFI responses should address the questions listed in Section 2 of this RFI. Respondents may reference user manuals or web pages as long as an electronic copy or weblink is provided and no sign-on or registration is required to access the referenced materials.

1.3.2 Communication and responses shall be submitted to the Issuing Officer listed in Section 1.4 below.

1.3.3 Respondents shall provide a signed transmittal letter on company letterhead that includes the company and the main contact's information such as name, title, telephone, and email.

1.3.4 Responses that include budgetary cost shall be submitted by general price ranges with their cost information, where applicable, to be used for reference only. No formal quotations shall be received or awarded in the RFI process.

Any references to cost in the attachments or following sections are intended to be requests for an informal estimate of costs.

1.4   Communication
For information regarding this notice and throughout this process, interested vendors shall contact only the issuing officer below.

Bryan Dreiling
OCIO
200 E. Grand Ave., Ste. 200
Des Moines, IA 50309
515-418-1496
bryan.dreiling@iowa.gov

1.5   Requests for Information Responses
Responses to this RFI must be received no later than 11:00 a.m., Central Standard Time, on February 10, 2023 by the issuing officer at the email account listed in Section 1.4 above.

1.6   Right to Duplicate
Respondent agrees that the State may duplicate its response information for the purpose of facilitating the review or to respond to requests for public records. The Respondent consents to such duplication by submitting a response and warrants that such duplication will not violate the rights of any third party. The State will have the right to use ideas (or adaptations of ideas) presented in the response in development of a future procurement.

1.7   Review of RFI Responses
Responses to this RFI will be reviewed by State of Iowa staff.

1.8   Gratuities
The laws of Iowa provide that it is a felony to offer, promise, or give anything of value or benefit to a state employee with the intent to influence that employee's acts, opinion, judgment or exercise of discretion with respect to that employee's duties. Evidence of violation of this statute will be turned over to the proper prosecuting attorney.

1.9   Costs to Vendors
The costs of preparation and delivery of the response to this RFI are the Respondent's sole responsibility.

1.10   Response Property of the State
All responses become the property of the State of Iowa and shall not be returned to the Respondent. At the conclusion of the project, the content of the responses will be placed in the public domain and open to inspection by interested parties. Do not include confidential or proprietary information as part of your RFI submission.

1.11   Source of Information Used in Addition to Responses
The State reserves the right to contact vendors after the submission of responses for the purpose of clarification and to ensure mutual understanding. Such contact does not obligate

1.12   State's Obligations
Issuance of this RFI in no way constitutes a commitment by the State to award any contract(s) or conduct business with any Respondent.

1.13   Public Records and Requests for Confidentiality
The release of information by OCIO to the public is subject to Iowa Code Chapter 22 and other applicable provisions of law relating to the release of records in the possession of a State agency. Respondents are encouraged to familiarize themselves with these provisions prior to submitting a response. All information submitted by a Respondent may be treated as public information by the Purchasing Division unless the Respondent properly requests that information be treated as confidential at the time of submitting. If a request is received by the state to view information identified as confidential by a Respondent, the state shall notify the Respondent of the request. It shall be the Respondent's sole responsibility to defend the claim of confidentiality in an appropriate legal venue. The State will withhold release of the subject information until the matter is settled.

Any requests for confidential treatment of information must be included in a cover letter with the Respondent's submittal and must enumerate the specific grounds in Iowa Code Chapter 22 or other legal reasons which support treatment of the material as confidential and must indicate why disclosure is not in the best interests of the public. The request must also include the name, address and telephone number of the person authorized by the Respondent to respond to any inquiries concerning the confidential status of the materials.

Any documents submitted which contain confidential information must be marked on the outside as containing confidential information, and each page upon which confidential information appears must be marked as containing confidential information. The confidential information must be clearly identifiable to the reader wherever it appears.

All copies of the submission, as well as the original, must be marked in this manner. In addition to marking the material as confidential material where it appears, the Respondent must submit one copy of the RFI information from which the confidential information has been excised. The confidential material must be excised in such a way as to allow the public to determine the general nature of the material removed and to retain as much of the document as possible. These pages must be submitted with the cover letter and will be made available for public inspection.

The Respondent's failure to request in the RFI confidential treatment of material pursuant to this Section and the relevant laws and administrative rules will be deemed by the State as a waiver of any right to confidentiality which the Respondent may have had.

SECTION 2 -- RFI QUESTIONS

2.1   Vendor Information

2.1.1   Provide the name and principal place of your business.

2.1.2   Provide the name, address, email address, and telephone number of the vendor representative to contact regarding all matters concerning this RFI.

2.2   System Functionality

2.2.1   Describe the functionality of your system.

2.2.2   Explain the process of adding a new licensing workflow to the system. How long does it typically take to add and configure a typical licensing workflow into the system?

2.2.3   Describe how different licensing workflows are managed and maintained within the single system. How are permissions for different user roles managed between licensing workflows?

2.2.4   Are there any specific activities or requirements that would require a work around or customization inside of the system?

2.2.5   Explain the system's business process engine and/or workflow engine. Specifically address how it can be modified for multiple licensing workflows with different user groups, access levels, and security requirements.

2.2.6   In a typical implementation, describe how frequently customers are required to change their existing business processes in order for the system to be able to meet their needs?

2.2.7   Describe what components of your system are configurable.

2.2.8   Does your solution have an epayment system? Has the solution been integrated with any third party epayment systems? If so please explain how this is

accomplished. Do you complete the PCI-DSS SAQ or have a third party conduct the assessment?

2.2.9 Does the system have an internal document management system? If so, please describe its features, specifically how it maintains a chain of custody of records and segregates data between license types / users / organizations.

2.2.10 Has the solution been integrated with any third party document management system such as OpenText? If so please explain how this is accomplished.

2.2.11 Can your system allow for uploaded documents from third party users of the system? Are uploaded documents digitized and editable, or image only?

2.2.12 Describe how your solution tracks continuing education and manages training providers.

2.2.13 Describe how the solution can track corrective actions and enforcement or disciplines.

2.2.14 Describe how the solution provides for information exchange with outside sources. Does the system have an API interface? Examples include third party submission of surety bond, submitting annual report information, submission of licensing status to federal regulators, or providing approval to take an exam and receiving the test results in return.

2.2.15 Describe how your solution manages license history and how the system provides audit capabilities.

2.2.16 Describe your solution's back office functionality including information on workflow management, accounting processes, and internal system audit.

2.2.17 Describe system reporting capabilities.

2.2.18 Describe what mobile devices are compatible with the proposed solution and describe your mobile strategy. Can your system send text messages (SMS) to the licensee?

2.2.19 Provide detailed information for any optional items not requested, but may be beneficial to the State, such as data analytics.

2.2.20 How are user activities in the system recorded and tracked?

2.2.21 Does your system work for specific licensing types that make your system unique compared to other vendors?

2.2.22 Does your system have any licensing types that your solution can not accommodate or support?

2.2.23 How are licensees notified that their license is coming up for renewal? Is this

activity tracked in the system?

2.2.24 Are there read-only users in the system? For example, can individuals review documents inside of the system without having to download them?

2.2.25 What file types can be uploaded into your system? Any file types that are not specifically not allowed? If so, what file types?

2.3 Architecture and Security

2.3.1 Describe your system architecture and provide an architecture diagram. Specifically describe if your system is COTS, LCAP, or a hybrid.

2.3.2 Is your system hosted on-premises, remotely in third party data centers, in the cloud, or a hybrid? Please describe.

2.3.3 Describe your approach to develop effective information security controls and approach to document those into a systems security plan.

2.3.4 Describe your incident response procedure in the event of a security incident.

2.3.5 Describe the security design and architectural features incorporated into the proposed solution.

2.3.6 Describe the document storage solution of the system.

2.3.7 Describe how your system segregates data between agencies, departments, and/or license types

2.3.8 Describe how your system handles data of different legal and regulatory information requirements public data, CJIS, FTI, HIPAA, etc)

2.3.9 Describe how your system integrates with other systems (API, SOAP, etc.)

2.3.10 Are you able to sign and meet the requirements of a business associate agreement under HIPAA with the State of Iowa?

2.3.11 What type of external third-party auditing (SOC1, SOC2, SSAE16/18) does your firm use? How often are these assessments done?

2.4 Implementation and Support

2.4.1 Describe a typical implementation and migration plan. Include how you ingest current business processes to implement into the system

2.4.2 Migration of legacy data, interfacing with legacy systems.

2.4.3 Describe typical customer responsibilities for ongoing solution administration if using a managed/hosted implementation

2.4.4 Describe your solution's capability to delegate (by agency, by department, or role)

administration for account addition, deletion, suspension, termination, password resets, distribution lists to administrators and help desk personnel.

2.4.5   Has the solution been integrated with any Identity Access Management solutions, specifically OKTA? If so please explain how this is accomplished.

2.4.6   Describe the different support models provided by your organization, including but not limited to Managed Services, Customer supported, and hybrid models.

2.4.7   In a normal implementation, how many hours do system owners have to spend performing maintenance and operations on the system?

2.4.8   If your solution allows for integrations into external systems, do system owners normally write the integrations, or does your firm provide those services? If so, how long does a typical integration take to create?

2.5   **Available Contracts**
2.5.1   Identify any contracts (cooperative or other) that products and services of this nature are available on and may be available to the State of Iowa

2.6   **System Licensing**
2.6.1   How is your system licensed? Specifically, how are partial year licenses handled?