**STATE OF MAINE**

**Department of Administrative and Financial Services**



**REQUEST FOR INFORMATION**

**RFI# 201812241**

**Enterprise Licensing Strategy for State of Maine**

|  |  |
| --- | --- |
| **RFI Coordinator** | *All communication regarding this RFI must be made through the RFI Coordinator identified below*.  **Name:** Richard S. Hayward **Title:** Applications Director  **Contact Information:** [richard.s.hayward@maine.gov](mailto:richard.s.hayward@maine.gov) |
| **Response Submission** | **Submission Deadline:** 02/15/2019 no later than 5:00 p.m., local Augusta Maine time  **Submit to:** [richard.s.hayward@maine.gov](mailto:richard.s.hayward@maine.gov) |

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# **PUBLIC NOTICE**

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**State of Maine**

**Department of Administrative and Financial Services**

**RFI# 201812241**

**Enterprise Licensing Strategy for State of Maine**

The State of Maine, Department of Administrative and Financial Services (DAFS), is seeking information to inform the development of Enterprise Licensing Strategies for state government and gain an understanding of what products may be in the marketplace to address licensing needs from an Enterprise perspective.

A copy of the RFI, as well as the Question & Answer Summary and all other related documents to this RFI, can be obtained at the following website: <https://www.maine.gov/dafs/procurementservices/vendors/rfis>

Responses must be submitted to: [richard.s.hayward@maine.gov](mailto:richard.s.hayward@maine.gov) and be submitted by 5:00 pm, local Augusta Maine time, on 02/15/2019.

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# **RFI DEFINITIONS/ACRONYMS**

The following terms and acronyms shall have the meaning indicated below as referenced in this Request for Information:

1. **RFI:** Request for Information
2. **RFP:** Request for Proposal
3. **State or SOM:** State of Maine
4. **Department:** Department of Administrative and Financial Services
5. **FOAA:** Maine Freedom of Access Act
6. **Respondent:** Any individual or organization submitting a response to this RFI.

**State of Maine - Department of Administrative and Financial Services**

**RFI# 201812241**

**Enterprise Licensing Strategy for State of Maine**

# **PART I: INTRODUCTION**

## A. Purpose and Background

1. **Purpose:**
   1. The state intends to develop a strategy to manage licensing at an Enterprise level across all or as many agencies as possible. Maine believes significant savings can be achieved by substantially reducing the number of unique applications, eliminating duplication of labor and reducing the infrastructure required to support multiple systems.
   2. The state of Maine wants to understand the solutions available in the marketplace capable of addressing enterprise level licensing business needs.
2. **Background**
   1. Maine has multiple licensing systems and is in danger of growing more without a viable enterprise approach. The State’s desire is to improve its ability to manage licensing functions across multiple state government agencies by becoming more efficient and lowering costs. Given this goal the state of Maine is interested in understanding the vendor capabilities and solutions available in the marketplace. The state is under no illusion that a single solution will solve all its licensing needs, vendors should feel free to recommend solution(s) or combinations of solutions to meet the need.
   2. The state of Maine wants to provide potential respondents with details of current license management in Maine, in hopes to inform vendors and generate the best possible responses. The State of Maine has identified numerous licensing functions (application for license/permit, tracking, reporting, enforcement, etc) which are potentially duplicated in both technical systems and business processes. Licensing systems are employed by regulatory agencies, smaller natural resource agencies and various boards and commissions. Historically, the technology needs of smaller agencies have been largely under-served, primarily due to budgetary constraints.
   3. Current view of State of Maine systems focused on licensing. The state has performed some limited analysis to collate licensing systems into functional groupings. To the extent this is helpful it is provided to vendors to help generate responses:

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **LICENSING CATEGORIES** | | | | | | | | | |
| (some applications qualify for more than one category) | | | | | | | | | |
| **AGENCY** | **# OF APPS** | Personal | Professional | Facilities | Financial | Insurance | Recreational | Health | Medical | Environmental | Other |
| ACF (Agriculture, Conservation and Forestry) | 20 | 6 | 6 | 12 |  |  | 1 | 11 |  | 8 |  |
| DAFS (Administrative and Financial Services) | 2 | 1 | 2 | 2 |  |  |  | 1 | 1 |  |  |
| DEP (Environmental Protection) | 22 | 6 |  | 16 |  |  |  |  |  | 21 |  |
| DHHS (Health and Human Services) | 10 |  | 4 | 9 |  |  |  | 7 |  | 3 |  |
| DMR (Marine Resources) | 2 |  | 2 |  |  |  |  |  |  | 2 |  |
| DOL (Labor) | 3 | 1 | 1 |  |  |  |  |  |  |  | 1 |
| DOT (Transportation) | 7 | 2 | 2 | 4 |  |  | 1 |  |  | 1 |  |
| DPS (Public Safety) | 2 | 1 | 1 | 1 |  |  |  |  |  |  |  |
| IFW (inland Fisheries and Wildlife) | 5 | 5 |  |  |  |  | 3 |  |  |  |  |
| MPUC (Public Utilities Commission) | 1 |  |  | 1 |  |  |  |  |  |  |  |
| PFR (Professional and Financial Regulation) | 1 |  | 1 | 1 | 1 | 1 |  |  | 1 |  |  |
| **Totals** | **75** | **22** | **19** | **46** | **1** | **1** | **5** | **19** | **2** | **35** | **1** |

* 1. Common business requirements across the state’s user base include:
     + License, permit, and certification automation to address:
       - Regulatory compliance
       - Financial processing
     + Automation of licensing associated business processes including
       - Compliance monitoring
       - Inspections
       - Enforcement
       - Tracking
       - Monitoring
       - Communication
       - Reporting
  2. The data reflected in the table above represents ‘categories’ of licensing functions in operation throughout the state. The data doesn’t represent the wide range of complex, rule driven work flows inherent to many nor the simplistic nature of others.
     + Professional licensing for DMR and PFR for example operate on complex law based rules governed by statute and subject to change; therefore, enterprise solution(s) require flexibility in configuration while presenting a simple user interface to a diverse yet fluid business end user community.
     + Recreational licensing includes fishing, hunting, snow mobile registration. Apply for the license, pay a fee, print a document, annually renew. Fairly simple.
     + Facility or Environmental licenses/permits range from simple to extremely complex, driven by rule of law and some have very long duration work flows. Licenses in this group require an application, complex, long duration review process and require tracking/monitoring after the fact.

## B. General Provisions

1. All contact with the State regarding this RFI must be made through the aforementioned [RFI Coordinator](#_top). No other person/ State employee is empowered to make binding statements regarding this RFI.
2. This is a non-binding Request for Information. Therefore, no award shall be made as a result of the RFI process.
3. Issuance of this RFI does not commit the Department to pay any expenses incurred by a Respondent in the preparation of their response to this RFI. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
4. Issuance of this RFI in no way constitutes a commitment by the State of Maine to issue a Request for Proposal (RFP).
5. All responses should adhere to the instructions and format requests outlined in this RFI and all written supplements and amendments, such as the Summary of Questions and Answers, issued by the Department.
6. All submissions in response to this RFI will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 et seq.).

<http://www.mainelegislature.org/legis/statutes/1/title1sec401.html>

1. All applicable laws, whether or not herein contained, shall be included by this reference. It shall be Proposer’s/Vendor’s responsibility to determine the applicability and requirements of any such laws and to abide by them.

# **PART II: INFORMATION SOUGHT**

1. **Strategies** Maine seeks information from respondents on strategies with which to implement and manage licensing from an enterprise perspective across all or most state agencies.
   1. **Important implementation points:**

Identify potential challenges for the Department, contracts, subcontractors and/or end users.

Key components/elements that should be addressed?

What is the best methodology to consolidate and produce savings?

What would be an ideal approach that has been used by other states/institutes?

What is a current successful and preferred industry method?

Would you recommend a statewide or regional contract awards? And why?

Who do other NE states contract with and provide links or copies of any current contracts?

Provide any additional information that may guide dept in this endeavor.

About how long would an implementation plan take to complete?

Describe a successful or suggested approach in the state to move forward.

1. **Enterprise Solutions:** Maine seeks information on potential enterprise solutions available in the marketplace.
   1. **Important Enterprise Solution Features:**
      * **Configurability:** Low code / No code, configurable solutions. Flexibility in process owner’s ability to re-configure the solution to adapt to legislative or legal changes without need for coding;
      * **Scalability:** A focus on enterprise solutions, scalable to accommodate current and future business needs as well as anticipated legislative changes
      * **Interfaces / APIs:** Potential integration leveraging current SOM applications and infrastructure investments, including Oracle SOA, MOVE\_IT (FTP), IVR solutions, Email (Microsoft Office 365). Etc via standard APIs
      * **Modularity:** Allow for phased implementation by differing agencies
      * **Public Reporting/Viewing Portal:** Ability to provide secure public views of certain licensing data and case records as designated by the process owner for internal or pubic consumption.
      * **Payment Processing:** Ability to integrate payment processing including the state’s PayMaine application.
      * **Notification/Alerts:** Reminder notification systems for staff action and license renewals
      * **Version Control:** Staying current with functionality, browser clients and underlying embedded technology (I.e., Oracle, Java, Adobe, etc) to maintain current security posture, business functionality.
      * **SaaS:** Software as a Service is the preferred implementation model to minimize infrastructure support. However, as this may complicate interaction with legacy on-prem applications, how does the vendor’s solution address this concern?
2. **Implementing a solution(s) based on an enterprise strategy should include:**
   1. Reduce number of aging legacy systems
   2. Reduce software costs via economies of scale
   3. Reduce technical support costs
   4. Reduced labor via streamlined business processes
   5. Reduced startup costs for new licensing implementations as the solution is rolled out to more state agencies.
   6. Standardization of core business and technical processes (reporting, payment processing, intake, notification and alerts, etc)
   7. Incentives for enterprise utilization creating high adoption rates
   8. Enterprise business intelligence for the licensing domain (common facts and measures, reusable dimensions, etc.)

# **PART III: KEY RFI EVENTS**

## Questions on the RFI

Questions regarding this RFI must be submitted to the RFI Coordinator via e-mail, listed on the cover page of this RFI document no later than Jan 23, 2019. Answers will be provided no later than Feb 01, 2019.

## Submitting the Response

1. **Responses Due**

Responses must be received no later than the date and time listed on the cover page of this document.

1. **Delivery Instructions**

Responses must be submitted to the RFI Coordinator, via e-mail, listed on the cover page of this RFI document.

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# **PART IV: SUBMISSION REQUIREMENTS**

This section contains instructions for Respondents to use in preparing their responses. It is requested that all responses follow the outline suggested below, including the numbering, section and sub-section headings as they appear here. The Department seeks detailed yet succinct responses that demonstrate the Respondent’s experience and familiarity with the subject matter. **As this is not a competitive RFP process,** **Respondents should not provide any specific cost or customized pricing documentation in their response.**

## Response Format

**1.** The response must be submitted to the RFI Coordinator in either Microsoft Word or PDF format. Responses should be single-spaced with 1” margins on white 8 ½” x 11” paper using a font no smaller than 12 point Times New Roman or similar.

**2.** All pages should be numbered consecutively beginning with number 1 on the first page of the narrative (this does not include the cover page or table of contents pages) through to the end, including all forms and attachments. For clarity, the Respondent’s name should appear on every page, including Attachments. Each Attachment should reference the section or subsection number to which it corresponds.

**3.** Respondents are asked to be brief and to respond to each question and instruction listed in the “Submission Requirements” section of this RFI. Number each response to correspond to the relevant question or instruction of the RFI.

**4.** Include any forms provided in the package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in the RFI.

**5.** Please provide all information requested in the RFI package at the time of submission.

## 

## Response Contents

### Section I. Organization

* 1. Provide your organization’s:
     1. Name
     2. Address
     3. Key Contact name and contact information
     4. Brief description of main products and services
     5. Years in business, and years providing Enterprise Licensing products or services.
  2. Provide clients that are using comparable products or services (including contact information).
  3. Describe skills pertinent to the specific work described in the RFI.

### Section II. Response to Information Sought

1. Discuss the “Information Sought” section referenced above in Part II of this RFI and what the Respondent offers related to the goods and/or services described. Responses should be in the order listed in Part II. Please repeat the State’s description of Information Sought before each response to that item.
2. Please respond to all questions in this section and give particular attention to describing the methods and resources necessary to accomplish the tasks involved. Respondents are also encouraged to share their knowledge and/or insight of the marketplace and of the specific goods and/or services in general for which information is being sought.

### Section III. Required Attachments

The Department does not require any specific attachments in response to this RFI. Respondent’s may provide additional materials if so desired. Additional materials are not limited to Word or PDF.

# **PART V REVIEW OF RESPONSES RECEIVED**

**General Information**

The Department will review responses received for the purpose of gathering information and market research. The Department will not score or rate responses received.

The Department reserves the right to communicate and/or schedule interviews/presentations with Respondents, if needed, to obtain clarification of information contained in the responses received.

**APPENDIX A**

**STATE OF MAINE**

**Department of Administrative and Financial Services**

## RESPONSE COVER PAGE

**RFI#201812241**

**Enterprise Licensing Strategy for the State of Maine**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Lead Point of Contact - Name/Title:** | | |  | | |
| **Organization Name (if applicable):** | | |  | | |
| **Tel:** |  | | **Fax:** |  | |
| **E-Mail:** |  | | **Website (if applicable):** | |  |
| **Street Address:** | |  | | | |
| **City/State/Zip:** | |  | | | |

**APPENDIX B**

**State of Maine**

**Department of Administrative and Financial Services**

**SUBMITTED QUESTIONS FORM**

**RFI#201812241**

**Enterprise Licensing Strategy for the State of Maine**

|  |  |
| --- | --- |
| **Organization/Responder’s Name:** |  |

|  |  |
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| **RFI Section & Page Number** | **Question** |
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*\* If a question is not related to any section of the RFI, state “N/A” under “RFI Section & Page Number”.*

*\*\* Add additional rows, if necessary.*