State of Nebraska (State Purchasing Bureau)

REQUEST FOR INFORMATION

RETURN TO:
State Purchasing Bureau
1526 K Street, Suite 130
Lincoln, Nebraska 68508
Phone: 402-471-6500

SOLICITATION NUMBER	RELEASE DATE
RFI 1901	**August 25, 2016**
OPENING DATE AND TIME	PROCUREMENT CONTACT
September 28, 2016 2:00 p.m. Central Time	**Teresa Fleming/Robert Thompson**

This form is part of the specification package and must be signed in ink and returned, along with information documents, by the opening date and time specified.

PLEASE READ CAREFULLY!

SCOPE OF SERVICE

The State of Nebraska, Administrative Services, Materiel Division, State Purchasing Bureau, is issuing this Request for Information RFI 1901 for the purpose of gathering information for a Financial Licensing Software Solution.

Written questions are due no later than September 6, 2016, and should be submitted via e-mail to as.materielpurchasing@nebraska.gov Written questions may also be sent by facsimile to (402) 471-2089.

Respondent should submit one (1) original of the entire RFI response. RFI responses should be submitted by the RFI due date and time.

Sealed RFI responses should be received in State Purchasing Bureau by the date and time of RFI opening indicated above. No late information will be accepted.

RESPONDENT MUST COMPLETE THE FOLLOWING

By signing this Request For Information form, the respondent guarantees compliance with the provisions stated in this Request for Information.

FIRM: _____

COMPLETE ADDRESS: _____

TELEPHONE NUMBER: _____ FAX NUMBER: _____

SIGNATURE: _____ DATE: _____

TYPED NAME & TITLE OF SIGNER: _____

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I. SCOPE OF THE REQUEST FOR INFORMATION

The State of Nebraska, Administrative Services (AS), Materiel Division, State Purchasing Bureau (hereafter known as State Purchasing Bureau), is issuing this Request for Information, RFI 1901 for the purpose of gathering information for a Financial Licensing Software Solution.

ALL INFORMATION PERTINENT TO THIS REQUEST FOR INFORMATION CAN BE FOUND ON THE INTERNET AT: http://das.nebraska.gov/materiel/purchasing.html

A. SCHEDULE OF EVENTS

The State expects to adhere to the tentative procurement schedule shown below. It should be noted, however, that some dates are approximate and subject to change.

	ACTIVITY	DATE/TIME
1	Release Request for Information	August 25, 2016
2	Last day to submit written questions	September 6, 2016
3	State responds to written questions through Request for Information "Addendum" and/or "Amendment" to be posted to the internet at: http://das.nebraska.gov/materiel/purchasing.html	September 13, 2016
4	RFI opening Location: State Purchasing Bureau 1526 K Street, Suite 130 Lincoln, NE 68508	September 28, 2016 2:00 PM Central Time
5	Conduct oral interviews/presentations and/or demonstrations (if required)	To Be Determined

II. RFI RESPONSE PROCEDURES

A. OFFICE AND CONTACT PERSON

Responsibilities related to this Request for Information reside with the State Purchasing Bureau. The point of contact for the RFI is as follows:

Name:	Teresa Fleming/Robert Thompson
Agency:	State Purchasing Bureau
Address:	1526 K Street, Suite 130 Lincoln, NE 68508
Telephone:	402-471-6500
Facsimile:	402-471-2089
E-Mail:	as.materielpurchasing@nebraska.gov

B. GENERAL INFORMATION

A subsequent Request for Proposal (RFP) may not be issued as a result of this RFI. There will not be a contract as a result of this RFI and the State is not liable for any cost incurred by vendors in replying to this RFI. If an RFP is issued, the information provided will assist the State of Nebraska in developing the Request for Proposal. This RFI does not obligate the State to reply to the RFI responses, to issue an RFP, or to include any RFI provisions or responses provided by vendors in any RFP.

C. COMMUNICATION WITH STATE STAFF

From the date the Request for Information is issued and until RFI opening (as shown in the Schedule of Events), contact regarding this RFI between potential vendors and individuals employed by the State is restricted to written communication with the staff designated above as the point of contact for this Request for Information.

The following exceptions to these restrictions are permitted:

1. Written communication with the person(s) designated as the point(s) of contact for this Request for Information;
2. contacts made pursuant to any pre-existing contracts or obligations; and
3. State-requested presentations, key personnel interviews, clarification sessions, or discussions.

Violations of these conditions may be considered sufficient cause to reject a vendor's response to the RFI. No individual member of the State, employee of the State, or member of the Interview Committee is empowered to make binding statements regarding this RFI. The State of Nebraska will issue any clarifications or opinions regarding this RFI in writing.

D. WRITTEN QUESTIONS AND ANSWERS

Any explanation desired by a vendor regarding the meaning or interpretation of any Request for Information provision should be submitted in writing to the State Purchasing Bureau and clearly marked "RFI Number 1901; Financial Licensing Software Solution Questions". It is preferred that questions be sent via e-mail to as.materielpurchasing@nebraska.gov Questions may also be sent by facsimile to 402-471-2089, but should include a cover sheet clearly indicating that the transmission is to the attention of Teresa Fleming/Robert Thompson, showing the total number of pages transmitted, and clearly marked "RFI Number 1901; Financial Licensing Software Solution Questions".
It is recommended that Respondent submit questions sequentially numbered, include the RFI reference and page number using the following format.

Question Number	RFI Section Reference	RFI Page Number	Question

Written answers will be provided through an addendum to be posted on the Internet at http://das.nebraska.gov/materiel/purchasing.html on or before the date shown in the Schedule of Events.

E. ORAL INTERVIEWS/PRESENTATIONS AND/OR DEMONSTRATIONS

The Review Committee(s) may conclude that oral interviews/presentations and/or demonstrations are required. All vendors may not have an opportunity to interview/present and/or give demonstrations. The presentation process will allow the vendors to demonstrate their RFI offering, explaining and/or clarifying any unusual or significant elements related to their response.

F. SUBMISSION OF RESPONSE

The following describes the requirements related to the RFI submission, handling and review by the State.

To facilitate the response review process, one (1) original of the entire RFI response should be submitted. RFI responses should be submitted by the RFI due date and time.

A separate sheet must be provided that clearly states which sections have been submitted as proprietary or have copyrighted materials. RFI responses should reference the request for information number and be sent to the specified address. Please note that the address label should appear as specified on the face of each container. If a recipient phone number is required for delivery purposes, 402-471-6500 should be used. The Request for Information number must be included in all correspondence.

G. PROPRIETARY INFORMATION

Data contained in the response and all documentation provided therein, become the property of the State of Nebraska and the data become public information upon opening the response. If the vendor wishes to have any information withheld from the public, such information must fall within the definition of proprietary information contained within Nebraska's public record statutes. All proprietary information the vendor wishes the state to withhold must be submitted in a sealed package, which is separate from the remainder of the response. The separate package must be clearly marked PROPRIETARY on the outside of the package. The vendor may submit the Estimated Budget as proprietary information. Vendor may not mark their entire Request for Information as proprietary. Failure of the vendor to follow the instructions for submitting proprietary and copyrighted information may result in the information being viewed by other vendors and the public. Proprietary information is defined as trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, vendors submitting information as proprietary may be required to prove specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive. Although every effort will be made to withhold information that is properly submitted as proprietary and meets the State's definition of proprietary information, the State is under no obligation to maintain the confidentiality of proprietary information and accepts no liability for the release of such information.

H. REQUEST FOR INFORMATION OPENING

The sealed responses will be publicly opened and the responding entities announced on the date, time, and location shown in the Schedule of Events. Responses will be available for viewing by those present after the opening. Vendors may also contact the state to schedule an appointment for viewing RFI responses.

I. GLOSSARY OF ACRONYMS

ACH – Automated Clearing House
AIRES - Automated Integrated Regulatory Examination System
COTS – Commercial Off the Shelf
CRD - Central Registration Depository
EDGAR - Electronic Data Gathering, Analysis & Retrieval System
EFD - Electronic Filing Depository
ETS - Examination Tool Suite
FDIC - Federal Depository Insurance Company
FINRA - Financial Industry Regulatory Authority
IARD - Investment Adviser Registration Depository
MOTS – Modified Off the Shelf
NASAA - North American Securities Administrators Association
NCUA -National Credit Union Association
NDBF - Nebraska Department of Banking and Finance
NMLS - Nationwide Mortgage Lending System
SAMP Act - Seller-Assisted Marketing Plan Act Nebraska Revised Statute 59-1701
SEC - Securities and Exchange Commission
SSIS – SQL Server Integration Services
SSRS – SQL Server Reporting Services
SQL - Structured Query Language
UBPR - Uniform Bank Performance Report

III. PROJECT DESCRIPTION AND SCOPE OF WORK

A. PURPOSE AND BACKGROUND

1. Purpose

a. The Nebraska Department of Banking & Finance ("the Department") regulates financial institutions which are Nebraska chartered, registered, and licensed. The Department also has jurisdiction over all securities offered and sold in Nebraska or to Nebraska residents. For more information about us, please visit our website at www.ndbf.ne.gov.

b. To enable the Department's regulation of both individuals and institutions, a licensing, examination and regulation application is used. This application allows for business processes to flow from team to team and cover different activities per license.

B. CURRENT BUSINESS PRACTICES

1. Licensing

2. Examination

3. Registration/Exemption

4. Regulation/Enforcement

a. Complaints

b. Class Actions

c. Legal Orders

5. Revenue Processing

C. CURRENT ENVIRONMENT

1. The Department has approximately 75 workstations and laptops, running Windows 7 enterprise, which use the CAVU application from the current vendor, Micropact. The Department staff are housed across three locations. The current product is a ASP.NET application running on a Windows 2012 Server IIS instance with an on premise SQL Server 2012 DB backend. These assets are all maintained in State-run data centers. Multiple import processes, built around SSIS, exist to integrate data from various sources, including NMLS, Blue Express, FDIC and CRD/IARD. Exported data is published within the department, to listserv recipients and to the internet via multiple reporting tools. These tools include an integrate SQL engine and SSRS, and MS Excel/Access.

2. Listed are the various industries regulated or oversight functions performed by the Department.

a. Chartering or Licensing of banks, credit unions, delayed deposit services, trust companies and any related examinations and officers

b. Licensing of mortgage companies and mortgage loan originators

c. Licensing of consumer lenders (installment loans) and related examinations

d. Licensing of money transmitters

e. Approvals of bank auditors

f. Approvals of bank and trust company pledged securities and bonding

g. Contact management for non-Nebraska financial institutions and holding companies (other states' state banks and credit unions, federally chartered banks and credit unions, federal savings banks, etc.)

h. Securities registrations and exemptions

i. Licensing of broker-dealers and their agents

j. Licensing of issuer-dealers and their agents

k. Licensing of investment advisers and their representatives

l. Review of franchise filings

m. Approval of consumer rental purchase agreements
n. Review of seller-assisted marketing plan filings (SAMP Act)
o. Review loan broker filings
p. Examination, investigation, and enforcement of laws, orders, statements of policy, rules and other regulations across all regulated entities and their agents
q. Review and moderation of consumer complaints
r. Processing and review of orders of law
s. Monitoring of citizenship status for regulatory compliance
t. Ability to track work efforts against any process, regardless of action
u. Generation of billing for any work logs, assessments, fees, fines, and penalties on both fixed and variable scales
v. Reconciliation of billing to accounts receivable and any receipted amounts (via ACH or check).

D. INFORMATION SOUGHT

The respondent should provide the following information in response to this Request for Information.

1. General:

a) What overall solution would you propose to replace the existing system? Please specify COTS, MOTS or some other software design or approach.
Response:
b) How many government entities have adopted your solution? i. Are any of them banking or securities regulators?
Response:
c) How are on-going technical support and maintenance releases delivered?
Response:

2. Hardware and Software Configuration: The State of Nebraska will host this solution within the State network. The following questions pertain to minimum hardware requirements to operate a system.

a) If the Department hosts your system on Nebraska owned virtual infrastructure: What is the minimum system requirements to operate your system? What virtual environment(s) is/are your solution supported on? Please include information about all system components (primary servers, failover servers). For each component required in the solution, please provide the following information: i. Server purpose or component description ii. Processor requirements iii. Storage capacity requirements iv. Options for scaling the system component to meet growth needs v. Options for achieving high availability for the system component
Response:

b) If the Department chose to host the system in cloud assets, especially Microsoft Azure, what are the minimum requirements? i. Can it be provided as a platform-as-a-service function? ii. If infrastructure as a service, are different requirements than prescribed for on premise infrastructure necessary?
Response:

3. Process:

a) How does the solution provide Customer Relationship Management functionality? i. How are individual correspondences integrated with licensing/regulatory actions? ii. How are contacts related to other entities (like companies or individual licenses)?
Response:
b) How does the solution process workflows, work in process tracking and archival of all license, registration and charter activity, including status management?
Response:
c) Is the solution specific to any industry? Can certain department processes be customized, if needed? What examples are available of customizations provided, including the rationales for them?
Response:
d) How can all assets and entities (examinations, investigations, complaints and other licensees) be related to parent entities and their contact information?
Response:
e) How are billing, fine/violation, assessment documents, generated both manually and based on event triggers, such as workflows, calendars or elapsed days? i. Is the billing functionality able to be integrated with back-end finance solutions? a) If so, which ones? b) Can billing processes automatically generate invoicing on those other systems? ii. How are workflows able to be segregated via security to different roles, including management review and oversight functions?
Response:

4. Data and Reporting:

a) Are there any requirements or prerequisites for your solution's database or database structure? What is used currently?
Response:
b) How can data from prior systems be fully integrated into the new solution, beyond simply housing the data in the same structures? i. Does your company do that work in-house or is a third-party brought in? ii. What tools or processes would be used to migrate the data?
Response:
c) How does the solution import data from third parties? i. NMLS ii. Blue Express iii. FDIC a) Call Report b) UBPR c) ETS iv. NCUA a) Call Report b) AIRES v. FINRA a) CRD b) IARD vi. SEC a) EDGAR vii. NASAA a) EFD b) NEMO
Response:
d) How are reports created from the solution?
Response:
e) How do advanced searches function within all licensing and enforcement data?
Response:
f) Does the system allow the extraction of data for data warehousing purposes?
Response:

5. Security:

a) Single sign-on is a requirement. Can the system be integrated with on premise Active Directory instances?
Response:
b) If web-based functionality is available, what security measures are in place? i. The state also has Active Directory services available for citizen use, can these services be integrated with the solution's web capabilities? ii. How do escalated security measures function during any billing or payment processes?
Response:
c) How are on-going technical support and maintenance releases delivered?
Response:

6. Optional Capabilities:
Integration with NDBF Website

a) How would the solution deliver basic public data in either raw form or graphically?
Response:
b) How would an external (non-State employee) user interact with the system, including status updates, correspondence, billing and payments?
Response:
c) How does the solution integrate with externally provided geography data, including geo-verification and geocoding?
Response:

E. BUDGET:

a. NDBF requests the following costs for budgeting purposes:

i. One-Time:
   a) Solution Design
   b) Implementation

ii. Annual, Recurring:
   a) Ongoing Maintenance
   b) Ongoing Support

Form A

Vendor Contact Sheet

Request for Information Number 1901

Form A should be completed and submitted with each response to this solicitation document. This is intended to provide the State with information on the vendor's name and address, and the specific persons who are responsible for preparation of the vendor's response.

Preparation of Response Contact Information	
Vendor Name:	
Vendor Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	

Each vendor shall also designate a specific contact person who will be responsible for responding to the State if any clarifications of the vendor's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Vendor Name:	
Vendor Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	