ATTACHMENT A

TO

RFP No. 4585

Mississippi Secretary of State Office

(MSOS)

BUSINESS OPERATIONS AND FILING SYSTEMS

Technical Specifications

Project No. 47843

Attachment A – Technical Requirements
RFP No. 4585 – Businesses Operations and Filing System for Mississippi Secretary of State

I.   **GENERAL**

   A.   **How to Respond**

   1. Beginning with Section B, Item 8 of this attachment, label and respond to each outline point in this section as it is labeled below.

   2. The State believes the Vendor has read and agrees to all items in this Request for Proposals (RFP). Vendors should take exception to items on which they disagree.

   3. The Vendor must respond with "WILL COMPLY" to each point in this section. In addition, responses to this RFP require detailed responses to provide the requested information. Failure to provide the information requested will result in the Vendor receiving a lower score for that item or, at the State's sole discretion, being subject to disqualification.

   4. "WILL COMPLY" indicates that the Vendor can and will adhere to the requirement. This term is used to respond to statements that specify that a Vendor or Vendor's proposed solution must comply with a specific item or must perform a certain task.

   5. If the Vendor cannot respond with "WILL COMPLY," then the Vendor must respond with "EXCEPTION." (See Section V of the RFP for additional instructions regarding Vendor exceptions.)

   6. Where an outline point asks a question or requests information, the Vendor must respond with the specific answer or information requested.

   7. In addition to the above, the Vendor must provide explicit details as to how the proposal meets or exceeds each specification.

   B.   **Mississippi Department of Information Technology Services (ITS) Requirements**

   8. Data Ownership: The State shall own all rights, title, and interest in all data used by, resulting from, and collected using the services provided. The Vendor shall not access State User accounts or State Data, except (i) during data center operation related to this solution; (ii) response to service or technical issues; (iii) as required by the express terms of this service; or (iv) at State's written request.

   9. Data Protection: Protecting personal privacy and sensitive data shall be an integral part of the Vendor's business activities to ensure that there is no inappropriate or unauthorized use of State information at any time. To this end, the Vendor shall safeguard the confidentiality, integrity, and availability of State information and comply with the following conditions:

      a. All information obtained by the Vendor under this contract shall become and remain the property of the State; and

      b. At no time shall any data or processes which either belong to or are intended for the use of State or its officers, agents, or employees be copied, disclosed, or retained by the Vendor or any

party related to the Vendor for subsequent use in any transaction that does not include the State.

10. Data Location: The Vendor shall not store or transfer State data outside of the United States, including backup data and Disaster Recovery locations. The Vendor will permit its personnel and contractors to access State data remotely only as required to provide technical support.

11. Encryption

   a. The Vendor shall encrypt all non-public data in transit regardless of the transit mechanism.

   b. For engagements where the Vendor stores non-public data, the data shall be encrypted at rest. Both parties will discuss and negotiate the key location and other key management details. Where data encryption at rest is not possible, the Vendor must describe existing security measures that provide a similar level of protection. Additionally, when the Vendor cannot offer encryption at rest, it must maintain, for the duration of the contract, cyber security liability insurance coverage for any loss resulting from a data breach. The policy shall comply with the following requirements:

      1) The policy shall be issued by an insurance company acceptable to the State and valid for the entire contract term, including any term extension(s);

      2) The Vendor and the State shall agree on the liability insurance coverage required;

      3) The policy shall include, but not be limited to, coverage for liabilities arising from premises, operations, independent contractors, products, completed operations, and liability assumed under an insured contract;

      4) The policy shall include third-party coverage for credit monitoring, notification costs to data breach victims, and regulatory penalties and fines;

      5) The policy shall apply separately to each insured against whom a claim is made or suit is brought subject to the Vendor's limit of liability;

      6) The policy shall include a provision requiring thirty (30) days written notice before it can be canceled;

      7) The Vendor shall be responsible for any deductible or self-insured retention in the insurance policy;

      8) The coverage under the policy shall be primary and not over any other insurance carried by the Vendor; and

      9) In the event the Vendor fails to always keep in effect the insurance coverage required by this provision, the State may, in addition to any other remedies it may have,

terminate the contract upon the occurrence of such event, subject to the contract's provisions.

12. Breach Notification and Recovery: Unauthorized access or disclosure of non-public data is considered a security breach. The Vendor will provide immediate notification and all communication shall be coordinated with the State. When the Vendor or their sub-contractors are liable for the loss, the Vendor shall bear all costs associated with the investigation, response, and recovery from the breach, including but not limited to credit monitoring services with a term of at least three (3) years, mailing costs, website, and toll- free telephone call center services. The State shall not agree to any limitation on liability that relieves a Vendor from its negligence or to the extent that it creates an obligation on the part of the State to hold a Vendor harmless.

13. Notification of Legal Requests: The Vendor shall contact the State upon receipt of any electronic discovery, litigation holds, discovery searches, and expert testimonies related to, or which in any way might reasonably require access to the data of the State. The Vendor shall not respond to subpoenas, service of process, and other legal requests related to the State without first notifying the State unless prohibited by law from providing such notice.

14. Termination and Suspension of Service: In the event of termination of the contract, the Vendor shall implement an orderly return of State data in CSV, XML, or another mutually agreeable format and guarantee the subsequent secure disposal of State data.

    a. Suspension of services: During any period of suspension of this Agreement, for whatever reason, the Vendor shall not take any action to erase any State data intentionally.

    b. Termination of any services or agreement in entirety: In the event of termination of any services or the agreement in its entirety, the Vendor shall not take any action to intentionally erase any State data for 90 days after the effective date of the termination. After such 90 days, the Vendor shall have no obligation to maintain or provide any State data and shall thereafter, unless legally prohibited, dispose of all State data in its systems or otherwise in its possession or under its control as specified in Item 14(d) below. Within this 90-day timeframe, the Vendor will continue to secure and back up State data covered under the contract.

    c. Post-Termination Assistance: The State shall be entitled to any post-termination assistance generally made available concerning the Services unless a unique data retrieval arrangement has been established as part of the Service Level Agreement.

    d. Secure Data Disposal: When requested by the State, the provider shall destroy all requested data in all its forms, such as disk, compact disc or digital video disk (CD/DVD), backup tape, and paper. According to National Institute of Standards and Technology

(NIST) approved methods, data shall be permanently deleted and not recoverable. Certificates of destruction shall be provided to the State.

15. Background Checks: The Vendor warrants that it will not utilize any staff members, including subcontractors, to fulfill the obligations of the contract who have been convicted of any crime of dishonesty. The Vendor shall promote and maintain an awareness among the vendor's employees and agents of the importance of securing the State's information.

16. Security Logs and Reports: The Vendor shall allow the State access to system security logs affecting this engagement, data, and processes. This includes the ability to request a report of the activities that a specific user or administrator accessed over a specified period and the ability for an agency customer to request reports of activities of a specific user associated with that agency. These mechanisms should be defined upfront and made available during the entire agreement with the vendor.

17. Contract Audit: The Vendor shall allow the State to audit conformance, including contract terms, system security, and data centers, as appropriate. The State may perform this audit or contract with a third party at its discretion and at the State's expense.

18. Subcontractor Disclosure: The Vendor shall identify all its strategic business partners related to services provided under this contract, including but not limited to all subcontractors or other entities or individuals who may be a party to a joint venture or similar agreement with the Vendor and who will be involved in any application development and/or operations.

19. Sub-contractor Compliance: The Vendor must ensure that any agent, including a Vendor or subcontractor, to whom the Vendor provides access agrees to the same restrictions and conditions that apply through this Agreement.

20. Processes and Procedures: The Vendor shall disclose its non-proprietary security processes and technical limitations to the State so that the State can determine if and how adequate protection and flexibility can be attained between the State and the Vendor. For example: virus checking and port sniffing — the State and the Vendor shall understand each other's roles and responsibilities.

21. Operational Metrics: The Vendor and the State shall agree on operational metrics and document said metrics in the Service Level Agreement (SLA). At a minimum, the SLA shall include:

    a. Advance notice and change control for major upgrades and system changes;

    b. System availability, uptime guarantee, agreed-upon maintenance downtime;

    c. Recovery Time Objective; Recovery Point Objective; and

    d. Security Vulnerability Scanning.

C. Current Overview and Configuration

22. The Mississippi Secretary of State's Office (MSOS) began a move toward becoming a "paperless" office in 2008. Since then, the Office has transitioned to either completely paperless or primarily paperless processes, depending on statutory authority, in the Business Services (Business and Uniform Commercial Code [UCC] filings), Charities, Securities, and Regulation and Enforcement Divisions. These divisions use an integrated solution known as Statewide Tracking and Reporting (STAR) to support their filing processes for both the electronic filing portals and the back-office processes.

23. The Business and UCC filing applications are housed in the Business Services Division. Customers create filing accounts to file business and UCC filings electronically via online portals, allowing customers to tender payment by check, cash, Automated Clearing House (ACH), or via the Mississippi Tyler Technologies Payment Portal. The Business and UCC applications interface with the agency's internal financial receipt system and the Mississippi Tyler Payment Portal. The Business Filings application utilizes a Business-to-Business (B2B) electronic filing interface for high-volume filers to submit annual reports and pay via ACH. It also has a two-way file interface with the Mississippi Department of Revenue. The UCC application also includes a B2B electronic filing interface used by filers submitting high volumes of UCC filings and paying via ACH. These B2B interfaces are maintained by the bulk filing companies that use them. The B2B electronic filing software runs on the filers' side and communicates with the databases at the MSOS.

24. The Charities, Regulation & Enforcement (R&E), and Securities Divisions currently share a common STAR database, and user functions are permissions-based. Their applications include:

    a. Charities and professional fund-raiser/fund-raiser counsels;

    b. Regulation and Enforcement include PreNeed Funeral and Perpetual Care Cemetery; and

    c. Securities.

25. The Charities, PreNeed Funeral, and Perpetual Care applications use electronic filing portals for customers to create filing accounts, submit filings, pay online via an interface with the State Payment Portal or by check, and track their filings. Each application uses a Backoffice solution for internal staff to review and process filings and payments. Both divisions use STAR for their back-office applications and their Enforcement (examination and investigation) functions.

26. The online portals for Businesses, UCCs, Charities, and preneed funeral/perpetual care filers include, but are not limited to, a secure business account; multiple online data entry forms; filing queues for customers to manage their filings and payments; field and screen validations, the ability to attach documents, and reminder emails for

upcoming filing due dates. Robust search functionality is available to the public.

27. The Securities Division utilizes two filing interfaces to import securities filings: Blue Express and Electronic Filing Depository. The Blue Express interface imports mutual funds filings into the STAR application tied to ACH payments transmitted to RevRoom, the internal revenue system. The Electronic Filing Depository (EFD) interface imports other specific forms and offerings into STAR, and related fees are transmitted to RevRoom. The division also accepts some paper filings.

28. The current Public Records Request portal automated accepting and fulfilling requests for public information. This application includes the ability for authorized administrators to track requests from submission through estimating and invoicing of the request and on through fulfillment of the request. Requests may be paid online via the State Payment Portal or certified check. It is currently housed in the Elections STAR database but must be placed in a new location.

29. The databases contain the following number of "active" filings or records by module:

    a.   Businesses – 6,955,662;

    b.   UCC – 7,388,203;

    c.   Charities – 146,581;

    d.   Securities – 106,793; and

    e.   Preneed and Perpetual care – 3,693.

D.   Statement of Understanding

30. The Vendor must agree to provide best practices and industry-standard tools and methodologies. The Vendor acknowledges that the State will not accept proprietary formats.

31. The Vendor must agree to design and implement a solution that will comply with all relevant filing regulation(s), whether this RFP articulates said requirements.

32. The Vendor must acknowledge and agree that if a conflict exists between the requirements of this RFP and the referenced regulations, said business rules and regulations shall govern.

33. The State reserves the right to rule on any questions of interpretation that may arise between the State and the Vendor regarding the referenced Federal and State requirements.

34. The Vendor will be responsible for implementing the filing solution. The comprehensive solution proposed by the Vendor must address the general and functional requirements outlined in this RFP, including all applicable State and Federal requirements.

35. The proposed solution must be customizable and highly configurable to meet the Mississippi Secretary of State's (MSOSs) business needs and

decrease the agency's reliance on outside vendors after the system's deployment.

36. The Vendor must propose a single release and implementation to replace the current filing system with limited interruption to service/business operations. Any interruption to current operations must be approved by MSOS and conducted in a way to prevent loss of service.

37. The proposed solution must be compatible with current Microsoft products available through the MSOS Enterprise Agreement. These include, but are not limited to, Microsoft Office 365, SharePoint, Azure, etc.

E.   Hosting Environment

38. MSOS is seeking a government cloud-based solution. The cloud-hosted environment must support the Business, UCC, Charities, Regulation & Enforcement, Securities, and Public Records filing application at maximum user capacity and the system's database functions. Capacity at implementation is more fully described in Attachment A, Section V, Implementation Requirements.

39. For a Vendor-hosted solution, the Vendor must meet the following minimum requirements:

    a.   The Vendor must provide Managed Services (government cloud), including migrating any on-premises services.

    b.   The Vendor must be a provider/reseller of hosting services (government cloud).

    c.   The Vendor must provide professional services such as monitoring, help desk support, security, etc.

40. The Vendor must provide cloud hosting details and pricing in RFP Section VIII, Cost Information Submission.

F.   Vendor Qualifications

41. **MANDATORY:** The Vendor must be in the business of providing vendor-hosted solutions of similar size, scope, and complexity for each of these applications. Vendor references submitted in RFP Section IX; References must substantiate this experience.

42. **MANDATORY:** The Vendor must have a working solution for each deployed application currently in a production environment.

43. **MANDATORY:** The Vendor must have been in the business of providing such solutions for at least five (5) years. The Vendor's response should indicate their years of experience in providing such services and should include descriptions of the services provided.

44. The Vendor must specify the location of the organization's principal office and the number of executive and professional personnel employed at this office.

45. The Vendor must specify the organization's size in terms of the number of full-time employees, the number of contract personnel used at any one time, the number of offices and their locations, and its structure (for example, state, national, or international organization).

46. The Vendor must disclose any company restructurings, mergers, and acquisitions over the past three years.

47. The Vendor must agree that under no circumstances shall any data or equipment associated with this project reside outside the continental United States, nor shall any data or equipment related to this project be accessible to people outside the continental United States.

48. Vendor must provide the following organizational information:

    a. Date established;

    b. State of incorporation;

    c. Ownership information, which includes public or private, parent company, and subsidiaries;

    d. Name, title, address, telephone number, and email for "Notice" article of the contract; and

    e. The Vendor must include a summary of the legal action, citations where filed, and status in the disclosure.

49. Vendor must agree that no individual formerly employed by or contracted with MSOS within the past five years shall have any involvement whatsoever in the project and that any individual employed by or under contract with the Vendor that was employed by MSOS within the past five years shall have no access to information related to the project without written permission from MSOS.

G.   Implementation Team and Work Requirements

50. The Vendor must demonstrate that all team members have the necessary experience for designing, installing, implementing, training, and supporting the services required by this RFP No. 4585. At a minimum, the Vendor's response should include team member roles, functional responsibilities, and experience with projects similar in size and scope to the services required by this RFP.

51. The State defines Key Personnel/Named Staff as those who fill critical project roles and have the authority and responsibility for planning, directing, and controlling the project activities necessary for a successful project implementation. Key Personnel (whether Prime or Sub-contractor) shall be committed and dedicated for the duration of the project and shall have sufficient prior experience to address the specifics of the project. The Vendor shall identify all staff members who are considered Key Personnel.

52. At a minimum, the Vendor shall name a Project Manager, a Technical Manager, and a Test Manager as Key Personnel for this project. The State expects the named staff to be available onsite/virtual at least 50% of the time. Required onsite/virtual activities include planning, status meetings,

discovery sessions, design sessions, client walkthroughs, and key testing and implementation activities. At the State's discretion, additional onsite time may be required for Key staff during certain periods.

53. If additional staff beyond Key Personnel are required to perform the functions of the contract, the Vendor should describe its plans and resources for fulfilling the functions and shall describe its retention plan to ensure continuity of project operations.

54. The Vendor cannot substitute Key Personnel during the duration of the contract period, except for the following conditions: a request by the State, an individual's sudden illness, death, resignation, or as otherwise approved or requested by the State. In any of these events or periods, the Vendor shall immediately notify MSOS and provide the information required below:

   a. All Key Personnel substitutions shall be proposed in writing at least 20 business days before the substitution and submitted to MSOS.

   b. The State shall agree to the substitution before the substitution shall become effective; and

   c. The Vendor can only propose an Interim staff member to fill a Key staff role for forty-five (45) days while they seek another qualified Key staff member.

55. The Vendor must submit organizational charts to substantiate each of the following:

   a. Identify the roles and associated staff proposed for each module of the project: UCCs, Businesses, Charities, Regulation & Enforcement, Securities, and Public Records Requests;

   b. Specify which roles are designated as Key Personnel;

   c. Depict the reporting relationships within the Vendor's project team delivering the services; and

   d. Specify where each proposed staff member falls within the Vendor's internal organizational structure.

56. The Vendor must ensure that each team member assigned to this project can communicate clearly in English, both verbally and in written form.

H.   Project Work Plan and Schedule

57. In response to this RFP, the Vendor must submit a preliminary project work plan that includes an implementation plan and schedule. The plan must include tasks (all phases), estimated hours per task, major project milestones, quality assurance checkpoints, etc. Provide an estimated timetable detailing all implementation phases from the point of contract execution through completion of go-live, final system acceptance, and user training.

58. Upon award, the Vendor and MSOS will jointly modify the preliminary plan as appropriate to meet implementation objectives. MSOS expects the Vendor to work with the MSOS Project Manager to ensure effective project management during all phases.

59. The Vendor will be responsible for any integration, migration, or implementation issues that may arise during implementation.

60. Regarding this procurement, the Vendor must state all Vendor assumptions or constraints regarding the proposed solution and the overall project plan, timeline, and project management.

61. The Vendor must develop a Responsible, Accountable, Consulted, and Informed (RACI) Model for the project, which will be approved by MSOS before the project start date.

62. The Vendor should identify any potential risks, roadblocks, and challenges encountered in similar implementations that could negatively affect the timely and successful completion of the project and recommend a high-level strategy to mitigate these risks.

63. The proposed Project Work Plan and Schedule, which will require MSOS approval, must include multiple environments, including Development, User Testing, Production, Training, and Help Desk support.

64. MSOS must test and validate all customizations, integrations, and interfaces in the user testing environment.

II.   FUNCTIONAL TECHNICAL REQUIREMENTS

A.   General

65. The proposed solution must consist of four environments: Development, User Testing, Production, and Training.

66. The proposed solution must provide efficient and cost-effective storage and retrieval.

67. The proposed solution must be sized to meet current needs and accommodate future growth.

68. The proposed solution must conform to the statutory mandates and business and administrative rules governing the filing processes for each module.

69. The proposed solution must provide configurable, role-based administrative tools and controls.

70. The proposed solution must be highly configurable and, at a minimum, allow authorized users to configure business rules, data elements, validations, fields, screens, workflows, notifications, navigation, and dashboards.

71. The proposed solution must provide configurable system validation messages to display a clear message on the screen and highlight the area where the error occurred.

72. The proposed solution must provide data entry screens that are easily customizable to accommodate business rules and statutory changes.

73. The proposed solution must allow the local administrator to add internal users to the system and assign user permissions without Vendor intervention.

74. The proposed solution must provide configurable review and approval workflows with payment processing rules.

75. The proposed solution must provide workflow routing to accommodate, track, and report on due dates defined by the MSOS.

76. The proposed solution must provide real-time information to all modules so that data is immediately available in all functions, including reports.

77. The proposed solution must ensure that the originator or another authorized user can only edit or delete notes or comments added to a record.

78. The proposed solution must provide data import and export capabilities using Excel, CSV, and other standard file formats.

79. The proposed solution must be able to generate and print high volumes of correspondence to external users.

80. The proposed solution must provide functionality to generate and send mass emails to external users.

81. The proposed solution must accommodate context-sensitive messaging, error messaging, help, and instructions to authorized users and MSOS staff.

82. The proposed solution must support typical Microsoft Office functions such as cut, copy, paste, spell/grammar check, etc.

83. The proposed solution must provide familiar keyboard shortcuts like those common to Microsoft Windows applications.

84. The proposed solution must allow the simultaneous viewing of multiple projects and screens and the ability to minimize and resize windows as needed.

85. The proposed solution must comply with ADA Standards for Accessible Design released by DOJ in April 2024.

86. The proposed solution must provide data elements accessible through dropdown menus, checkboxes, date pickers, etc., to ensure standardization of MSOS processes and data collection formats.

87. The proposed solution must include standard email templates, correspondence templates, and the ability to produce mailing labels based on user-defined criteria.

88. The proposed solution must provide a User Interface (UI) to build and manage templates.

89. The proposed solution must allow authorized users to configure and maintain templates and components.

90. The proposed solution must allow authorized users to clone and/or delete templates and components.

91. The proposed solution must accommodate and accept the migration of current MSOS templates.

92. The proposed solution must allow users to maintain and access past years' migrated forms and filings.

93. The proposed solution must maintain the names and digitized signatures of specified persons (such as the Division Assistant Secretary of State and the Secretary of State) for use on correspondence and certificates.

94. The proposed solution must have the ability to reprint older certificates without changing the content to include but not limited to names, signatures, or dates.

95. The proposed solution allows administrative staff to integrate signature images to display on certificates and correspondence.

96. The proposed solution must include flexible output formats such as .pdf and .xlsx or any other standard format the MSOS uses.

97. The proposed solution must provide conflict checking to flag such conflict occurrences as defined by the MSOS.

98. The proposed solution must prevent users from permanently deleting records.

99. The proposed solution must have a data entry field and screen validation rules as designed and determined by MSOS.

100. The proposed solution must be able to track and maintain the history of transactions, actions, and other status changes throughout.

B. Web Access

101. The proposed solution must be web accessible to MSOS staff and external registered system users.

102. The proposed solution must be browser-neutral and work with all common browsers, such as Google Chrome, Mozilla Firefox, and Microsoft Edge. The Vendor must specify the web browsers that support the solution.

103. The proposed solution must offer a web-accessible portal(s) to grant credentialed users access to MSOS-defined functions. The portal(s) must be intuitive and easy to navigate.

104. The proposed solution must provide web forms that can be completed in an online filing portal and submitted electronically with data captured in the application. These are not fillable PDFs.

105. The Vendor must specify any downloads, plug-ins, or additional software (add-ons) (e.g., Java, Flash, etc.) required to access the proposed solution.

106. For any necessary downloads, plug-ins, or add-ons, instructions for access and installation must be easily accessible to participants as a part of the

proposed solution. The Vendor must describe how the additional software is presented to the user and detail the software's downloading and installation process. The Vendor should include a sample screenshot or sample instructions with the Vendor's response to this requirement.

107. For any necessary downloads, plug-ins, or add-ons, the Vendor must describe the process for educating users on installation and maintenance, including new users as they are added.

108. Any costs associated with using and maintaining these downloads, plug-ins, or additional software must be included in RFP Section VIII, Cost Information Submission of RFP No. 4585.

C. Mobile Access

109. The proposed solution must be accessible to iPhone Operating System (iOS) and Android mobile devices.

110. The proposed solution must be mobile-enabled, and the screen resolution must be dynamically adjusted based on the device's size.

D. Administrative Management

111. The proposed solution must accommodate the need for MSOS system administrators to perform necessary administrative functions, including but not limited to creating and maintaining user accounts, backing up and restoring files, exporting files, generating reports, etc.

112. The proposed solution must permit system administrators to selectively set up and manage up to or more than twelve (12) role-based user types with configurable permissions per role per module.

113. The proposed solution must allow multiple roles to be assigned to users where needed.

114. The proposed solution must allow system administrators to edit or create workflows for system processes.

115. The proposed solution must provide system logs tracking user activity.

E. Workflow

116. The proposed solution must provide a flexible workflow engine enabling designated users to modify business processes without programming as business rules and statutes change.

117. The proposed solution must provide workflow functionality to guide tasks from initiation to closure.

118. The proposed solution must provide configurable workflows and business rules to ensure that the correct user can promptly process the various application submissions, review, approval, and other actions.

119. The proposed solution must accommodate configurable workflows and business rules standard to best-practice case management solutions, regardless of whether this RFP specifies them.

120. The proposed solution business rules and workflows must allow multiple related notifications and to-dos.

121. The proposed solution must allow authorized users to redirect workflows in response to circumstances that require temporary or permanent changes.

122. The proposed solution must automatically calculate service deadlines; this feature must be configurable.

123. The proposed solution must provide workflow routing to accommodate, track, and report on due dates as defined by MSOS.

124. The proposed solution must display workflows in simple, graphic formats easily understood by system users.

125. The proposed solution must provide workflow graphics to indicate the current status of a work item in the workflow.

126. The proposed solution must allow workflows to be saved as templates to be reused for other types of actions.

127. The proposed solution must provide the ability to create and modify workflows using built-in administrative tools.

128. MSOS will consider it advantageous if the proposed solution allows workflow configuring with drag-and-drop tools through a graphical user interface.

129. The proposed solution must offer pre-configured workflows for processes standard to MSOS Businesses, UCC, Charities, Regulation & Enforcement, Securities, and Public Records Filing Systems filing activities.

F.   Document Manager

130. The proposed solution must offer all document management features and functionality standards to best case management practices, whether this RFP specifies them.

131. The proposed solution must offer a full-featured document management system (DMS) that accommodates generating, scanning, indexing, manipulating, editing, and storing paper and electronic documents.

132. In addition to scanning on demand, the proposed solution must provide bulk scanning of paper documents.

133. The proposed solution must provide a document manager that is robust, organized, and user-friendly document storage and retrieval structure.

134. The proposed document manager must accept and upload large gigabyte documents, including but not limited to All Microsoft Office formats, .pdf, and all photo formats, including JPEG, TIFF, GIF, and PNG.

135. The proposed solution must accommodate exporting of maintained and managed documents, including but not limited to multiple documents in a single batch job.

136. The proposed solution must accommodate printing individual and high-volume batch documents. The vendor must describe the printing methods that are available.

137. The proposed solution must allow mobile users to upload and attach documents to targeted filing records.

138. The proposed document manager should offer standard features as described below:

   a. Customizable filing document types;

   b. Customizable flags and meta-data for document types;

   c. Viewer for all allowed document file types;

   d. Docs can be searched by file name and metadata;

   e. Docs can be searched by content;

   f. Notification can be sent to users of a new document attached to the case;

   g. Docs can have "draft" status, and drafts can be modified;

   h. Docs can have "final" status and cannot be modified;

   i. Queue for docs waiting for approval or for signature;

   j. Multiple documents can be attached/copied/printed with a single action, including by drag-and-drop;

   k. Automatic notification to support staff that the document has been drafted and is ready to be finalized; and

   l. User-initiated and system-initiated OCR of PDFs. The State will consider it a plus for solutions that can provide this functionality.

G. Search Functions

139. The proposed solution must provide global public search features and functionality standards to best practices, providing comprehensive search results based on search criteria.

140. The proposed solution must allow users to search by any indexable attribute required by MSOS.

141. The proposed solution must be able to search on all data elements and have full keyword search capability.

142. The proposed solution must be able to produce search results that represent the search term, as well as subtle variations of the search term.

143. The proposed solution must offer pre-defined searches that are common to filing activities.

144. The proposed solution must provide searches with results that are exportable or downloadable to standard file formats such as .xlsx, .pdf, .xml, and .csv.

145. The proposed solution must allow users to search for items opened or closed during specific time frames.

H.   Reports and Dashboards Reports and Dashboards

146.   The proposed solution must offer pre-designed, standard reports common to best-case management practices, whether specified by this RFP.

147.   The Vendor must work with MSOS staff to provide forty (40) reports across all modules.

148.   The proposed solution must accommodate the creation and modification of standard reporting templates as defined by MSOS.

149.   The proposed solution must be capable of generating late filer and expired reports based on adjustable cycle filing deadline dates.

150.   The proposed solution must accommodate user-defined reporting to create custom reports from all data elements for which MSOS requires tracking and reporting.

151.   The proposed user-defined reporting tool must be intuitive and easy for the user to comprehend.

152.   The proposed solution must allow MSOS Staff to create and save customized reports and queries.

153.   The proposed solution must provide ad hoc reports identifying all users with system access, including the level of access and the date/time of last access.

154.   The proposed solution must be capable of exporting reports into file formats, including but not limited to PDF, MS Excel, and MS Word.

155.   The proposed solution must provide dashboards that can be configured according to the roles and preferences of individual users.

156.   The proposed solution must provide configurable dashboards throughput performance measures and system activities such as active users, recent filings, filing count by date, late filings, etc.

157.   The proposed solution must provide configurable dashboards for users to manage open tasks.

158.   The proposed solution must include dashboard functionality for users to review approved and rejected submissions.

159.   The proposed solution must provide dashboard functionality to view submitted and approved filings.

160.   The proposed solution must provide configurable executive dashboards or integrate with an existing Data Analytics solution. The state will consider it a plus to integrate solutions with Microsoft Power BI.

I.   Alerts and Notifications

161.   The proposed solution must provide functionality to send dashboard alerts and notifications to the MSOS staff. Sample alert and notification types are provided below.

162. The proposed solution must provide notifications of submitted filings to be reviewed/approved, reporting deadline dates, returned filings, upcoming examinations or investigations, etc.

163. The proposed solution must provide notifications that can be viewed from a dashboard through worker queues, with filings/tasks, received date, status, and description.

164. The proposed solution must provide scheduled alerts and notifications that can be directed to a specific person(s) with a due date and a task description.

165. The proposed solution must provide for various notifications to be automatically emailed to customers, registered entities, and filers on a pre-defined schedule.

    Examples of customer notifications: Notifications of acceptance or rejection of an application with links to the customer accounts, notifications of upcoming reporting and renewal reminders and expiration dates, and follow-up reminder emails.

166. The proposed solution must provide all alert and notification capabilities standard to best practice registration and filing solutions, including but not limited to the following:

    a. Alerts and notifications can be updated and modified, e.g., assign a new due date, add recipient, etc.;

    b. Priorities can be set for alerts and notifications;

    c. Authorized users can configure alert and notification displays, including the ability to configure expiration dates; and

    d. Alerts and notifications must be able to be directed to multiple recipients, which are both internal and external to the MSOS.

J. Calendar/Date Functions

167. The proposed solution must offer full-featured calendar functions standard to all best practice registration and filing solutions, whether or not this RFP specifies them.

168. The proposed solution must allow admin MSOS users to set filing deadlines and reminders for filing events and activities.

169. The proposed solution must have calendar functions that assist users in managing customer filing deadlines and provide automatic or user-defined reminders for critical dates.

170. The proposed solution must include a calendar function for scheduling applicable workflow actions, deliverables, due dates, and notifications.

171. The solution must export calendar events to MS Outlook 365 or other desktop applications.

K. Payment Functionality

172. The proposed solution must integrate with the State's payment portal for online fees as described in the requirements for each module.

173. The proposed solution must also provide for mail-in checks and certified checks.

174. The proposed solution must provide these Fee Types:

    a.   Registration, amendment, renewal, and other related fees;

    b.   Annual report filing fees;

    c.   Filing type fees;

    d.   UCC filing fees; and

    e.   IRS Vouchers (for UCC IRS Liens).

L. Payment Processing Requirements

175. The Vendor must obtain and maintain Payment Card Industry certification from a credible evaluating entity. The Vendor must adhere to the Payment Card Industry's Data Security Standards (PCI-DSS) and PCI card industry standards. (https://www.pcisecuritystandards.org).

176. The Mississippi Department Of Finance And Administration's Administrative Rule for Payments By Credit Card, Charge Card, Debit Cards or Other Forms Of Electronic Payment Of Amounts Owed To State Agencies requires the use of the state's credit card processor (Tyler Technologies, formerly known as NIC Mississippi) to process electronic payments. The Administrative Rule can be referenced in Attachment B.

177. Tyler Technologies is the single point of entry for all e-commerce transactions. Vendors must use the official payment processor for any services where electronic payment is required. See Attachment C for details on how to interface with the system.

178. The following payment methods accepted through Tyler include Visa, Master Card, American Express, Discover, electronic check, and subscription (monthly billed).

179. If the Vendor has a preferred payment processing solution and believes that using the State's payment solution is not technically possible or presents an undue burden, the Vendor must provide a detailed explanation or the issue in their proposal response. Should the State decide that using the Vendor's payment solution is in the best interest of the State, the Mississippi Department of Insurance will use this information to apply for a waiver as outlined in DFA's Administrative Rule referenced in Attachment B.

180. If the State agrees to use the Vendor's payment solution, the Vendor must assume all responsibility for meeting Payment Card Industry (PCI) compliance requirements.

181. Vendors not using the State's approved payment solution must demonstrate PCI compliance annually and assume all liability in the event of a system breach.

182. Vendors not using the State's approved payment solution must comply with all regulations regarding the handling of state funds as required by the official Mississippi Code of 1972, Annotated.

III. FUNCTIONAL REQUIREMENTS BY MODULE

A. General

183. The proposed solution must provide online portals for electronic filing and payment functionality for required filing types with document upload capability according to the requirements specified in each module.

184. The proposed solutions must require customers to create an online account before they can submit a filing according to the requirements specified in each module.

185. The proposed solution must provide customer accounts with a profile page for the following required fields: name, address, telephone number, email address to send correspondences and other information identified by staff, and the capability to reset passwords.

186. The proposed solution must allow customers to update their profile information.

187. The proposed solution must provide customer account access for registered users to:

    a. Login using a unique user identification and password;

    b. View their records and the statuses of their filings, including, but not limited to, Completed/ Incomplete/ Payment/ Rejected/ Pending/ Pending Review/ Approved/ Rejected/ Active/ Expired/On Hold/ Awaiting Signature. The requirements for statuses are specified in each module;

    c. Enter and submit registrations, annual reports, and other filings such as renewals, amendments, extensions, and terminations as described in each module section;

    d. Upload required documentation; and

    e. Pay associated fees.

188. The proposed solution must allow customers to change their login name when they change their email address.

189. The proposed solution must allow user login changes to be visible to the staff.

190. The proposed solution must allow a customer to change/update their user login name, email address, and username without losing filing history.

191. The proposed solution must keep the history of a user's login changes with start and end dates.

192. The proposed solution must include a "forgot password" button on the login screen to allow customers and internal users to reset their passwords.

193. The Vendor must provide Customers and MSOS staff access to view filings 24 hours/day/7 days/week.

194. The proposed solution must include dashboard functionality for external users to edit draft and rejected submissions and view submitted and approved filings.

195. **MANDATORY:** The proposed solution must provide functionality for electronic submission for identified filing types and the capability to pay online OR print and mail the submission with a check to the SOS Finance Office. Business rules are stated in each program area.

196. The proposed solution must format data entered online into a printable format that resembles the current application for each application type.

197. The proposed solution must provide multiple online data entry forms.

198. The proposed solution must identify all documents attached for each filing type to the filer before starting the filing.

199. The proposed solution must provide instructional blocks on data entry screens. These must not be hovers or popup boxes.

200. The proposed solution must provide approval, acknowledgment, and rejection emails to be sent electronically at the time of approval, acceptance, or rejection.

201. The proposed solution must allow identified filings to be approved automatically based on business rules with automated acceptance notification emails.

202. The proposed solution must allow identified filings to be manually reviewed, approved, or rejected based on business rules.

203. The application data entered in the electronic portals must be captured in the back-office system.

204. The proposed solution must have the functionality to generate common correspondences via email and U.S. Mail delivery.

205. The proposed solution must be able to create mass mailings to be sent via the U.S. Postal Service.

206. The proposed solution must be able to send mass emails.

207. The proposed solution must provide interactions of registration and reporting data through the system to eliminate data entry from needing to be entered multiple times in multiple locations.

208. The proposed solution must provide functionality to prevent duplicate filings, entities, duplicate filers, and customer accounts.

209. The proposed solution must be able to link identifiers to related entities, registered agents, officers, and customers so the relationships can be easily recognized and located in the system.

210. The proposed solution must provide tracking numbers for each filing submitted to the SOS Office for easy tracking with applications and the internal financial system.

211. The proposed solution must be able to generate text and .xml data files for filings submitted electronically.

212. The proposed solution should recognize weekends, state holidays, and office closures and not include them in the business day counts.

B.   Business Registrations and Filings – External Portal

213. The proposed solution must provide an online customer filing portal with a payment interface to the Tyler Mississippi Payment Portal. Uniform Resource Locator (URL) for the current filing portal Mississippi Secretary of State (ms.gov).

214. The proposed solution must require a customer to create a filing account. Uniform Resource Locator (URL) for the current filing portal Mississippi Secretary of State (ms.gov)

215. The proposed solution must require users to enter an email address for use as their user login to the filing portal.

216. The proposed solution must require a name, personal address, business address, and business email address to create a filing account.

217. The proposed solution must interface with the Lexis Nexis Risk Assessment tool to validate the customer's email address, personal address, and other unique identifying information before allowing them to create a filing account.

218. The proposed solution must require additional fields to capture unique customer information for the Lexis Nexis validation process.

219. The proposed solution must not retain the customer's unique identifying information entered during registration after their account information is validated or rejected.

220. The proposed solution must allow a customer to create a filing account if it passes the Lexis Nexis validation.

221. The proposed system must capture the email addresses of the registering customers who fail the Lexis Nexis validation in a running list.

222. The proposed solution must capture the Lexis Nexis reason for failure to validate the customer's record in the back office for the CSR's review.

223. The proposed solution must require customers to declare the method by which they choose to receive a Notice of Dissolution, if applicable, during the registration process. Options include U.S. Mail and business email accounts.

224. The proposed solution must provide a "name availability" feature for online filers and the internal filing staff.

225. The proposed solution must warn customers that the name must be reviewed based on business rules, which require reviewing the availability of a name.

226. The proposed solution must provide status queue tabs for customers to view/locate their filings in the filing account. These include:

    a.   Incomplete;

    b.   Pending Payment;

    c.   Pending Approval;

    d.   Returned; and

    e.   Completed.

227. The proposed solution should provide a Notes field on the Pending Approval for the filer to view in the queue.

228. The proposed solution must provide a tab for "My Orders" that displays the Active Certificates being ordered by the customer and the status and invoice number.

229. The proposed solution must provide, at a minimum, the filing types listed at the following URL:

https://www.sos.ms.gov/content/documents/Business/FeeSchedule.pdf

230. The proposed system must provide the following new filing types:

    a.   Commercial Registered Agent Listing Statement (currently a paper form);

    b.   Commercial Registered Agent Statement of Nonacceptance of Appointment (currently a paper form);

    c.   Commercial Registered Agent Termination Statement (currently a paper form);

    d.   Combined Domestication and Conversion form that can be used for either or both purposes (new form); and

    e.   Annual Report for Charities (new form).

231. **MANDATORY:** The proposed solution must require all filings to be submitted and paid electronically using the State Payment Portal OR printed and mailed in with a check. Filers must be able to select a payment method between these two options.

232. The proposed solution must assign a Tracking Number to each submitted filing that will stay with the filing.

233. The proposed solution must assign a permanent Business ID to an entity when the formation is approved.

234. The proposed solution must place a "burn stamp" containing the Business ID, Tracking Number, and Date/Time Filed on all approved filings.

235. The proposed solution must provide functionality to waive fees for individual customers.

236. The proposed solution must provide functionality to waive fees for state agencies.

237. The proposed solution, after the initial formation filing is approved, must auto-populate fields in all following filings, for example, an amendment or an annual report.

238. The proposed solution must allow specified auto-populated fields to be editable.

239. The proposed solution must provide dropdown boxes for the creation of business types.

240. The proposed solution must provide for online forms to be divided into sections that will open based on the completion of prior data entry fields.

241. The proposed solution must provide for the registration of commercial registered agents.

242. The proposed solution must provide a selection feature on the formations data entry screen that provides a revolving list of all commercial agents.

243. The proposed solution, when a registered agent is selected, must auto-populate the name, address, email, and phone number.

244. The proposed solution must also provide for manual data entry for a registered agent.

245. The proposed solution must require a registered agent's street address to be in Mississippi.

246. The data entry forms must provide clear, concise instructional blocks similar to those currently configured. These are not instructions that display via hover or a popup box.

247. The proposed solution must provide for functional Future Effective Dates.

248. The proposed solution must interface with the North American Industry Classification System (NAICS) so that customers can select the required NAICS code that identifies the nature of their business.

249. Upon entering the NAICS code, the description must populate in the related field on the data entry screen.

250. The proposed solution must provide the signature Titles in a dropdown that contains titles only applicable to that business type.

251. The proposed solution must include specific required screens in the filing workflow acknowledging company filing requirements.

252. The proposed solution must include the agency policy to protect the business name of an entity that is dissolved for one year from the date of dissolution in the event the company decides to reinstate within that time.

C.   **Business Registrations and Filings – Internal**

253. The proposed solution must provide a means to prevent more than one staff member from working on the same filing at the same time.

254. The proposed solution must provide multiple filing statuses, including but not limited to:

    a.   Filed;

    b.   Incomplete;

    c.   Pending Payment;

    d.   Pending Review;

    e.   Pending Approval;

    f.   Stop; and

    g.   Rejected.

255. The proposed solution must provide functionality for administrators to disable accounts that are identified as bogus.

256. The proposed solution must have the ability to generate a list of bogus filers who have had their accounts disabled.

257. CSRs Orders Tab – can see pending orders, active, and how many to process. If the image is not available, $1/page, and if certified, $10 + $1/page. When retrieving an order, the CSR completes the process, the customer pays, and the document should reside in the entity history and can be retrieved from that entity history.

258. The proposed solution must provide functionality for the back-office staff to review and approve or reject filings.

259. The proposed solution must generate official State of Mississippi certificates for various types of business formations.

260. The proposed solution must provide a "stop" feature for companies that have outstanding non-sufficient funds (NSF) payments to prevent them from filing until it is paid.

    The "stop" feature must be readily visible to the filing staff.

261. Only supervisors can remove the feature from a company once the NSF is paid.

262. The proposed solution must provide the functionality to change the status of the company with the "stop" on it to be administratively dissolved after a specified period.

263. The proposed solution must have the functionality to set companies in "intent to dissolve" status based on business rules.

264. The proposed solution must have the functionality to automatically dissolve business based on business rules.

265. The proposed solution must have the functionality to reinstate dissolved companies based on business rules.

266. The proposed solution must save the name of a dissolved company for one year to allow the company to be reinstated.

D.   Standard Reports and Queries

267. The proposed solution must provide standard reports, some of which are emailed to a specified distribution list daily, weekly, or monthly. Below are examples of some reports currently used.

   a. Form Filing Counts by Date Range;

   b. BSD User Filing Counts by Date Range;

   c. MS Business Reports – exportable to Excel. URL: Business Reports | Michael Watson Secretary of State (ms.gov); and

   d. Mississippi: New Business Formations 2023 Formation Counts For Year By Industry (ms.gov) (printable PDF).

E. Searches

268. The proposed solution must provide robust search functionality. Below are examples of current searches:

   a. Internal: Search by Tracking Number, Entity Name, Business ID, Status, and other search criteria by date range

   b. External: Web Searches by Business Name, Business ID, Officer Name, Registered Agent

F. Interfaces

The proposed solution must provide interfaces including but not limited to:

269. The proposed solution must provide an interface with the MS Department of Revenue, which is a two-way interface that exchanges information regarding business formation and dissolution.

270. The proposed solution must provide an interface with B2B, which is for high volume filer bulk interface for annual reports.

271. The proposed solution must provide an interface with the State's Internal financial revenue system.

G. Uniform Commercial Code (UCC)

272. The proposed solution must provide an online customer filing portal with a payment interface to the Tyler Mississippi Payment Portal.

273. URL for the current filing portal: File UCC Online | Michael Watson Secretary of State (ms.gov).

274. The proposed solution must require a customer to create a filing account.

275. The proposed solution must require a name, personal address, business address, and business email address to create a filing account.

276. The proposed solution must allow a company to create a filing account with an identified manager.

277. The proposed solution must enable the manager to set up representatives to file on behalf of the company.

278. The proposed solution must allow the manager to view all filings.

279. The proposed solution must provide functionality for customer account managers to procure UCC subscriptions for their representatives.

280. The proposed solution must require UCC documents, including the UCC 5 form and the UCC 11 form, to be filed online. Currently, the UCC5 and UCC11 are paper filings.

281. The proposed solution must assign a Tracking Number to each submitted filing that will stay with the filing.

282. The proposed solution must redact the Employer Identification Numbers (EINs) and Social Security Numbers (SSNs) required on UCC farm liens.

283. The proposed solution must allow farm lien subscription filers to search by the last four (4) digits of an SSN or the EIN.

284. **MANDATORY:** The proposed solution must provide functionality for UCCs to be submitted online and paid using the State Payment Portal or an approved ACH account OR for the UCC to be entered online, printed, and mailed in with a check. Filers must be able to select a payment method between these two options.

285. The proposed solution must provide functionality to waive fees for state agencies.

286. The proposed solution must provide the following filing types as approved by the International Association of Commercial Administrators (IACA) in May 2023:

    a. Financing Statement - UCC1;
    b. Agricultural Farm Lien (UCC1-F);
    c. Amendment – UCC3;
    d. Agricultural Farm Lien Amendment (UCC3-F);
    e. Correction Statement – UCC 5;
    f. Information Statement – UCC11; and
    g. The Financing Statement UCC1 must provide functionality to file:
        1) An Agricultural Farm Lien (UCC1-F); and
        2) Not an Agricultural Farm Lien (UCC1).

287. The proposed solution must also provide functionality to receive and process Internal Revenue Service (IRS) liens with payment vouchers.

288. The proposed solution must provide, upon selection of either of the two options listed above, for the UCC1 form to open additional fields that are required for that type. It must also remove the fields that do not apply to that UCC1 type.

    a. For example, if the UCC1 Agricultural Farm Lien is selected, an FSA Product crop information section and an Alternate Name Designation must be completed.

  b. For example, if the UCC1 Not an Agricultural Farm Lien is selected, an Alternate Filing Type and a Name Designation fields, and a Collateral box must be completed.

289. The proposed solution must provide expanding text boxes to accommodate collateral and product information. These entries may be multiple pages and can be cut and pasted using Microsoft Word.

290. The proposed solution must prohibit attachments to forms in the portal.

291. The proposed solution must provide functionality for a UCC Account Manager to complete online forms to purchase annual filing subscriptions:

  a. UCC Online Images;

  b. Farm Liens;

  c. Bulk Filing Export. This subscription includes UCC and business filings; and

  d. The proposed solution must provide the Account Manager with the ability to assign subscriptions to their users.

292. The proposed solution must provide for the generation of expiration reminder emails.

293. The proposed solution must interface with the UCC Bulk Filing process used by high-volume filers to submit UCCs and pay with ACH.

294. The Secretary of State provides the companies with an interface packet.

295. The filing companies must contract directly with the Vendor to interface with the solution.

296. The proposed solution must provide the following queues in the filing portal:

  a. Incomplete;

  b. Pending; and

  c. Acknowledgements. This feature allows the filer to search for Filing Acknowledgements by Date Range.

297. The proposed solution must provide functionality for a UCC filer to create a template from an existing filing to use when creating multiple pre-populated filings by the same filer.

298. The proposed solution must provide functionality for staff to review and approve or reject some types of UCCs.

299. The proposed solution must email automated notifications for approval, rejection, and final rejection at the time of action by the MSOS.

300. The proposed solution must provide standard reports, some of which are emailed to a specified distribution list daily, weekly, or monthly. Below are examples of some reports currently used.

  a. Weekly Filing Counts;

  b. Daily and Weekly SOS Performance Stats for UCCs;

  c. UCC Filings Counts by Date; and

      d.   UCC Customer Reconciliation Report – an online report by date range in the customer's portal account.

301.   The proposed solution must provide ad hoc reports.

302.   The proposed solution must provide customer searches that are accessible inside the customer's portal account and public searches.

      a.   URL for current UCC public searches: [Mississippi Secretary of State (ms.gov)](#); and

      b.   Farm Lien Search - requires customer subscription.

303.   The proposed solution must provide the following Interfaces:

      a.   B2B interface for high-volume bulk filers to submit UCC filings with ACH payment; and

      b.   Internal financial revenue system.

H.   Charities Filing Requirements

304.   The proposed solution must require all filings to be submitted and paid electronically using the State Payment Portal.

The URL for the Charities Filing Portal is [Charity Online Registration](#) | Michael Watson Secretary of State (ms.gov).

305.   The proposed solution must identify to the filer all documents that are required to be attached for each filing type before starting the filing.

306.   The proposed solution must provide the following current charity registration filing types in the online portal:

      a.   Charities;

      b.   Exclusion;

      c.   Exemptions;

      d.   Fund Raising Counsel;

      e.   Professional Fund Raiser;

      f.   Registered;

      g.   Solicitation Campaign;

      h.   Unregistered;

      i.   Registrations;

      j.   Initial Registration Statement;

      k.   Renewal Registration Statement;

      l.   Final Report;

      m.   Initial Exemption Statement;

      n.   Exemption Update Statement;

      o.   1st Extension Form Filing;

      p.   2nd Extension Form Filing (this form is no longer used but may be retrieved upon request);

      q.   Complaint Form Filing;

  r. Commercial Co-Venture;

  s. CCV Campaign;

  t. CCV Campaign Initial;

  u. CCV Registration;

  v. CCV Campaign Amendment;

  w. CCV Financial Accounting;

  x. Fundraising Counsel Application;

  y. Fundraising Counsel Renewal;

  z. Fundraising Counsel Contract Upload;

  aa. Professional Fundraisers Application;

  bb. Professional Fundraisers Renewal;

  cc. Professional Solicitor Application;

  dd. Solicitation Campaign Notice Initial;

  ee. Solicitation Campaign Notice Extension;

  ff. Solicitation Campaign Summary;

  gg. Solicitor – Solicitor; and

  hh. Opinions:

    1) Charity Opinions

    2) Registration - Charitable Gift Annuity

307. The proposed solution must maintain older inactive filing types to review them in the new solution. Some charities were established many decades ago.

308. The proposed solution must require email addresses for specified officers.

309. The proposed solution must provide for online forms to be divided into sections that will open for data entry, validate entered data, save data, and roll up before the next section opening.

310. The proposed solution must have the functionality to send notifications of upcoming renewal deadlines and expiration notifications for multiple filing types at specified intervals.

311. The proposed solution must provide validation to require charities exceeding a specified dollar amount in contributions to submit financial statements as part of the renewal cycle.

312. The proposed solution must provide a validation for Category and Dollar amounts for charities excluding Professional Fundraisers.

313. The proposed solution must provide additional validations for Mississippi-based Charities filings.

314. The proposed solution must assign a Tracking Number to each submitted filing that will stay with the filing.

315. The proposed solution must assign a permanent File Number to a filing when it is approved.

316. The proposed solution must provide detailed instructions for the filer explaining the financial requirements and calculations for various filings.

317. The proposed solution must require a charity that files after its registration has expired to submit additional signed documentation before re-registering.

318. The proposed solution must provide functionality that requires two signatures by specific officers on specified forms.

319. The proposed solution must prompt the user to send the form in an email attachment to each of the officers for electronic signature using the individuals' email addresses.

320. For transmittal notifications requiring two signatures, the System must specify the job titles required for signature.

321. The proposed solution must provide for signature requests to be re-sent. The proposed solution must provide for the requests to expire after a specified period.

322. When both signatures are received, the proposed solution must notify the user and move the filing to a "pending payment" status.

323. The proposed solution must validate the incoming electronic signatures to ensure the same person does not sign the registration form twice.

324. The proposed solution must provide functionality for an authorized user to be responsible for the signature verification process when registration is complete and again after a renewal is complete.

325. The proposed solution must allow organizations to request filing extensions based on current business and administrative rules.

326. The proposed solution must provide functionality for the public to file an online Complaint containing specified information.

I.   Internal

327. The proposed solution must identify MS-based Charities and move them to an "MS Trigger Files" queue for internal review.

328. Filing Statuses include but are not limited to the following. NOTE: some of these filings are no longer used but need to be available for viewing historical filings.

   a.   Admin Orders – Revoked;
   b.   Closed;
   c.   Closed – Abandoned;
   d.   Closed – Expired;
   e.   Closed – Not Completed;
   f.   Closed – Terminated;
   g.   Closed – Withdrawn;
   h.   Closed – Abandoned;

    i.   Closed – Terminated by SOS;

    j.   Compliant Form Pending Review;

    k.   Completed, Converted to Registered;

    l.   Current – Exempted;

    m.   Current – Exempted – Conditions;

    n.   Current – Filed;

    o.   Current – Registered;

    p.   Current – Registered – Conditions;

    q.   Current – Unregistered;

    r.   Open;

    s.   Planning to Register;

    t.   Reviewed – Case/Exam Created; and

    u.   Admin Orders – Terminated.

329. The proposed solution must provide functionality for easily configurable certificates with the Secretary's signature on them.

330. The proposed solution must provide versioning of prior certificates for historical records.

331. The proposed solution must be able to easily retrieve and resend a historical certificate displaying the original information, including the Name and Signature of the Secretary of State and Date(s), without losing or changing any of the original content.

332. The proposed solution must provide functionality for multiple levels of internal review and approval.

333. The proposed solution must provide the ability to reject filings and allow resubmission of corrected filings.

334. The proposed solution must provide configurable rejection reasons specific to charitable organization filings.

J.   Reports

335. The proposed solution must provide functionality for specific internal reports and lists to be exported into Excel, CSV, or PDF. Examples of current reports include:

    a.   Charity Weekly Filing Counts Report (distributed via email);

    b.   CH-Expiration Listings;

    c.   ExpiredAfterFYE/ExpiredAfter NO FYE;

    d.   CH-Annual Charity 501 list;

    e.   CH-Annual Charity Exempt Information;

    f.   CH-Annual Expired Charities;

    g.   CH-Annual Financial Information_AllInOne; and

    h.   CH-AnnualCharityGamingInformation_AllinOne.

K.   Searches

336.   The proposed solution must provide internal searches to include a minimum of:

The current external search functionality with search parameters and results shown on the MSOS website at Mississippi Secretary of State (ms.gov) Search Criteria: By Charity Name and File Number

L.   Regulation & Enforcement - PreNeed and Perpetual Care Registrations and Reporting

337.   The proposed solution must provide an electronic portal for customers to create a customer account to file preneed and perpetual care registrations, renewals, annual reports, and amendments.

The URL for the electronic filing portal is Mississippi Secretary of State (ms.gov)

338.   The proposed solution must allow for the submission of paper filings of the same types.

339.   **MANDATORY:** The proposed solution must provide for electronic payments via the Mississippi State Payment Portal or submit a paper check.

340.   The proposed solution must provide for the following filing types:

    a.   Establishment registration;

    b.   Agent registration;

    c.   Annual report filing;

    d.   Trustee annual report filing; and

    e.   Change in Establishment or Agent Information.

341.   The proposed solution must provide functionality for back-office staff to receive and enter paper forms.

342.   The proposed solution must issue confirmation that emails are received.

343.   The proposed solution must provide a dashboard to show filings and statuses, including but not limited to begin, suspend, resume, and submit.

344.   The proposed solution must provide the ability for back-office staff to review and approve or reject filings.

345.   The proposed solution must provide functionality to automatically send notifications upon approval or rejection of a filing.

346.   The proposed solution must provide functionality for the internal user to select a rejection reason from a dropdown that will populate the notification to the customer.

347.   The proposed solution must provide functionality to send renewal notifications at specified times leading to the filing deadline.

348.   The proposed solution must provide functionality to apply payments to invoices.

349. Examinations and Investigations – refer to Attachment A, Section III, Item Q, Investigations and Examinations for Charities, Security and Regulation, & Enforcement

M. Reports

350. Daily Filing Report of New Filings and Changes. This is an automated reporting processes that runs daily to provide information on new filings and changes to filings.

N. Searches

351. The URL for the current PreNeed Search is [Mississippi Secretary of State (ms.gov)](#).

352. The URL for the current Perpetual Care Search is [Mississippi Secretary of State (ms.gov)](#).

O. Securities

353. The proposed solution must provide for the electronic import of mutual fund filing and associated payments into the proposed solution for processing.

354. The MSOS currently uses Blue Express to electronically import these filing types into the existing system.

355. The proposed solution must provide for the electronic import of Regulation D, Rule 506 offerings, and Form NF-UIT for unit investment trusts and related fees into the proposed solution for processing.

356. The MSOS currently uses EFD to electronically import these filing types.

357. The proposed solution must provide the functionality to enter and process these filing types that are currently submitted via paper.

358. The selected Vendor must work with the staff to determine if these filing types can be submitted electronically.

359. The proposed solution must provide for the following filing categories:

   a. Notice Filings;
   b. Registration by Coordination; and
   c. Mississippi Securities Act § 75-71-304 and Rule 2.03.

360. The proposed solution must provide for the required filing types and methods of filing within each category described below.

   a. Mutual Funds;
   b. Initial, SEC Effectiveness, Renewals, Amendments, Terminations;
   c. Can be filed electronically via Blue Express or paper;
   d. Unit Investment Trust (UIT);
   e. Initial, SEC Effectiveness, Renewal, Amendments, Terminations;
   f. Can be filed electronically via EFD;
   g. Rule 506 Exemption/Form D;
   h. Initial, Late filings, Renewals, Amendments, Terminations;

i. Can be filed electronically via EFD;

j. Reg A Tier II, Rule 2.312;

k. Initial, Late Filings, Renewals, Amendments, Terminations;

l. Can be filed electronically via EFD or paper;

m. Registration by Coordination Filings;

n. Initial, Withdrawal, SEC Effectiveness, Amendments, Reregistration, Terminations;

o. Can be filed electronically via EFD or paper, and

p. Registration by Coordination.

361. The proposed solution must provide notifications to internal staff when filings are received or are ready to be imported.

For example, the current solution generates a daily email notifying the staff of the success of the EDGAR (Electronic Data Gathering, Analysis, and Retrieval) FTP (File Transfer Protocol) download with the number of EFD (Electronic Filing Depository) and UIT (Unit Investment Trust) filings that are ready to be processed.

362. The proposed solution must provide functionality for the staff to open and review filings.

363. The proposed solution must provide the staff with the capability to verify the payment amount is accurate.

364. The proposed solution must provide a workflow when the staff determines a filing is satisfactory and sets the effective date, the status changes to Current.

365. The proposed solution must provide functionality to attach Sales Reports and other documentation.

366. The proposed solution must provide the functionality to accept, reject, place on hold awaiting correction, or complete a filing.

367. The proposed solution must provide a dropdown of rejection reasons for the staff to select the appropriate reason.

For example, a rejection reason may be an incorrect payment amount. The staff would place the filing on hold until the correct payment is received.

368. The proposed solution must provide functionality for the staff to process the filings, including updating new addresses and contacts to existing ones and adding Sales Reports.

369. The proposed solution must provide functionality for payments to be applied to filings when the final pending action is closed. Closing this identified pending action triggers the payment to be applied to the proper invoices or filings.

370. The proposed solution must provide for a batch of payments to be automatically applied to the related batch of filings when all filings are determined complete.

P.   Reports

371.   The proposed solution must provide standard reports, some of which are emailed to a specified distribution list daily, weekly, or monthly. Below are examples of some reports currently used.

    a.   Filings by Date Range; and

    b.   New filings to be processed.

372.   The URL for the Securities Public Search is at [Filings Search](#) | Michael Watson Secretary of State (ms.gov).

Q.   Investigations and Examinations for Charities, Securities and Regulation & Enforcement

373.   The proposed solution must provide an Investigation component and an Examination component.

374.   The proposed solution must have the capability to receive complaints via telephone and an online Complaints form. This will vary based on the program area.

375.   The proposed solutions must have the ability to enter and track complaints.

376.   The proposed solution must have the ability to assign identifying numbers to complaints, examinations, and investigations.

377.   The proposed solution must capture the complaints information entered online.

378.   The proposed solution must relate all complaints to the proper business entity.

379.   The proposed solution must have the capability for users to create (open) cases on complaints requiring investigation.

380.   The proposed solution must allow users to create examinations in response to investigative findings.

381.   The proposed solution must provide functionality to auto-schedule examinations on a rotating schedule according to business rules.

382.   The proposed solution must be able to auto-number cases.

383.   The proposed solution must allow SOS staff to assign case examiners or investigators automatically or manually.

384.   The proposed solution must provide a configurable dashboard for enforcement users to include queues for a minimum of:

    a.   Complaints;

    b.   Examinations with descriptive information and statuses;

    c.   Investigations with descriptive information and statuses;

    d.   My Cases – cases assigned to each user; and

    e.   All Cases – for supervisor.

385. The proposed solution must provide case tracking through all statuses in the process.

386. The proposed solution must provide a workflow to move a complaint to an examination type, to an investigation type, and to Legal via identified triggers.

387. The proposed solution must provide a checklist or set of pending actions to lead users through the complaint, examination, and investigation processes.

388. The proposed solution must provide triggers to automatically close specified pending actions.

389. The proposed solution must provide the ability to manually close specified pending actions.

390. The proposed solution must provide functionality for users to manually enter Chronological Events with descriptive notes.

391. The proposed solution must provide functionality for the examiner to enter findings.

392. The proposed solution must provide a dropdown of statutory violations with statutory references and descriptions.

393. The proposed solution must provide the ability to enter notes and identify the type using a dropdown (for example, a complaint, examination, investigation, and legal.

394. The proposed solution must provide a dropdown of actions that can be selected to close an investigation or an examination.

395. The proposed solution must automatically close open pending actions when an examination or investigation is closed.

396. The proposed solution must provide the ability to open a finding to view statutory violation, name of entity, remarks, and description of finding.

397. The proposed solution must provide a method to prioritize findings and display them in an exportable grid.

398. The grid headers should include a minimum of a Header that includes but is not limited to Priority Order, Filing, Description, and Occurrence.

399. The proposed solution must have the capability to identify and document Related Entities to an examination or investigation.

400. The proposed solution must provide the ability to create a report compiling specified data that was entered into the database.

401. The proposed solution must provide the ability to print or email reports with findings listed in priority order.

402. The proposed solution must have the ability to schedule and track examinations and investigations.

403. The proposed solution must have the ability to relate prior examinations and investigations to entities with similar findings.

404. The proposed solution must generate notifications and alerts to staff and respondents.

405. The proposed solution must provide a feature that identifies the entity under investigation to an internal user.

406. The proposed solution must have the capability to record and track all examinations, investigations, and legal actions.

407. The proposed solution must have the functionality to create templates for correspondence, consent orders, and related documents.

408. The proposed solution must upload and easily retrieve case-related documents.

409. The proposed solution must create investigative reports by case.

R.   Public Records Request Portal

410. The proposed solution must provide an online link to the Public Records Request portal. This link will reside on the MSOS website.

411. The proposed solution must provide automatic submission of the request form to the public records application. This application currently resides in the Elections STAR system.

412. The proposed solution must provide functionality for the customer to complete the request form online and print it to mail to the MSOS.

413. The proposed application must provide functionality for the internal user to manually enter data from a paper request form.

414. The proposed solution must, after the staff determines the cost of the request, have the capability to generate an email to the customer stating the cost of fulfilling the public records request and provide a link to the invoice.

415. **MANDATORY:** The proposed solution must provide functionality for a customer to submit an electronic payment using the email link via the State Payment Portal or mail in with a certified check.

416. Upon receipt of payment, the proposed solution must, within the 7-day statutory deadline, enable the staff to fulfill the request by one of the following two methods:

    a.   Email a link to download the requested information; or
    b.   Print the requested information to be mailed.

417. The proposed solution must provide an internal dashboard to track the submission through a workflow from submission to fulfillment. Within this workflow, a request will be reviewed, estimated, an invoice created and sent to the requestor, payment received, and the request fulfilled within seven (7) days in the manner outlined by the internal staff.

418. The proposed solution must use pending actions or other checklists to guide the internal user through each step of the process.

S. Revenue Receipting System

419. The proposed solution must provide the functionality to record receipts by check, cash, and ACH payments.

420. The proposed solution must provide fields to capture the Tracking Number, Payor Name, Amount, and Date Received for each receipt by GL Code.

421. The proposed solution must interface with the Tyler Payment Portal to receive credit card and ACH payments.

422. The proposal must include a means to track ACH payments and upload information to the agency's bank account.

423. The proposed solution must have the functionality to integrate with external systems to record and process receipts.

424. The Vendor must have their proposed solution interface with the state's accounting system, the Mississippi Accountability System for Government Information and Collaboration (MAGIC), at no additional cost.

425. The proposed solution must produce Daily Revenue Deposit Registries by GL Codes for each module.

426. The proposed solution must provide standard financial reporting reports and reconciliation functions.

IV. SYSTEM DESIGN

A. Data Management

427. The proposed solution must allow for manual data entry by role-based user accounts.

428. The proposed solution must support manual or automated imports and exports of data into common text file formats (.txt, .csv. etc.)

429. The proposed solution must be NIST compliant relating to security standards to ensure the data is protected and is secure in a resting state.

430. The proposed solution must provide mitigation for incorrect or duplicative data.

431. The Vendor agrees to develop, document, and implement comprehensive procedures for the management of data and data documentation. The Data Quality and Management Plan is more fully described in Attachment A, Section V(H).

432. As previously specified in Section I. General, Item E (#47), the Vendor must agree that all MSOS data will remain within the continental United States borders. At no time will the transmission, viewing, or storage of any MSOS data be permitted to any resource outside of the United States.

B. Standards

433. The proposed solution must comply with the most recent form of all regulatory standards that apply to Businesses, UCC, Charities, Regulation & Enforcement, Securities, and Public Records Filing Systems registrations/filing technologies sought by this RFP, whether or not they are defined by this RFP.

434. The solution must have the ability to spell check within text fields.

435. The solution must allow for the entry and display of mailing addresses using:

   a. Fields long enough to meet US postal, foreign, and military mail regulations;

   b. First and Second Address fields;

   c. Postal codes; and

   d. Country.

436. The solution must facilitate the entry of data once and populate the various system modules where needed.

437. The solution must provide the opportunity to make administrative changes to a record without updating the system transaction date or clearly show that the update/change was an administrative correction.

C. Interfaces

438. In the implementation of the proposed solution, the Vendor must agree to provide, implement, test, and make operational each of the key interfaces and exchanges in the proposed solution. Interfaces known at this time are as follows:

   a. State Payment Portal;

   b. MSOS Website;

   c. MS.gov Website;

   d. MSOS Closeout Financial System;

   e. Business Services B2B;

   f. UCC B2B;

   g. MAGIC; and

   h. MS Department of Revenue (with the Business file).

D. Backup and Recovery

439. The solution must have the ability to schedule various routine activities for automatic execution at specified and recurring dates and times. Examples of such activities include, but are not limited to:

   a. Database backup and real-time replication;

   b. Server backup and real-time replication;

   c. Full database duplicate checks and other scheduled database tasks;

d. Exports of various American Standard Code for Information Interchange (ASCII) text files to FTP site for external distribution; and

e. Generating, formatting, and printing standard and custom reports with secured storage until retrieval.

440. The Vendor must agree that the proposed solution's Continuity of Operations Plan (COOP) includes the need for data and system configurations to be backed up at least daily for continuity of operations considerations. Copies of the backup tapes will be stored off-site from the central operations site (primary and disaster sites) to increase the likelihood of their availability in case of a natural or man-made disaster.

441. The Vendor must agree that the proposed solution will permit system administrators to selectively create full and incremental backups of all MSOS files without impacting the functionality of the system. Such backups include but are not limited to administrative files, archive files, transaction files, master identity indexes, and transaction results.

442. The Vendor must agree that the proposed solution will permit system administrators to selectively support the recovery of all files from the backups to the appropriate locations.

443. The Vendor must agree that the proposed solution will maintain synchrony between the primary active site and the failover site to ensure that every transaction successfully enrolled in the operational site is still available in case of a switchover to the other active site.

E. Service Availability and Restoration

444. For the initial term and any extended terms of service, the Vendor must agree that, except as the result of a catastrophic event, the proposed solution will provide at least ninety-nine point ninety-nine percent (99.99%, also known as "four 9's") availability of all Businesses, UCC, Charities, Regulation & Enforcement, Securities, and Public Records Filing Systems services, to be measured monthly.

445. Vendor agrees to exclude as unavailable time:

a. Any scheduled outages for preventive maintenance; and

b. Planned upgrades where the users do not have access to and the use of system functionality.

446. For purposes of this requirement, "catastrophic event" is defined as a natural or man-made disaster that destroys both the primary and the disaster recovery sites or renders both unusable due to fire, water damage, earthquake, radioactive leak, large-scale power outage, declared medical pandemic, or a large-scale communications infrastructure outage (telephones and Internet access). Large-scale means at least affecting the city where the site is located.

F. Continuity of Operations Plan

447. Many of the requirements of RFP No. 4585 refer to the need for continued operations if a local or regional event adversely affects access to the primary site or interrupts normal operations. To address these needs, the Vendor must submit a Continuity of Operations Plan (COOP) in response to this RFP.

   a. COOP services include but are not limited to the provision of cloud computing, system data, and documentation to ensure essential services in the event of a disaster declaration. The COOP must include plans for periodic training drills involving all pertinent personnel, equipment, and systems to maintain readiness to respond to disaster declarations. MSOS and Vendor will agree on the timing of disaster training drills.

   b. The COOP must document procedures to ensure the performance of essential functions during abnormal conditions, including system maintenance and system upgrades. Essential functions are defined as those functions that enable the Vendor to provide vital services under all circumstances.

448. The Vendor agrees that COOP services will be considered a part of system maintenance and will be covered by the system maintenance fees.

449. At a minimum, the COOP must:

   a. Ensure continuous performance of essential system functions and operations during an emergency or planned outage;

   b. Protect essential system functionality, continuity of records, and other assets;

   c. Reduce or mitigate disruptions to operations; and

   d. Achieve a timely and orderly recovery from an emergency and resume full service to users.

450. At a minimum, the capabilities provided by the Vendor in the COOP must:

   a. Be maintained as an active failover service;

   b. Be capable of providing 100% of the services both with and without warning/scheduling; and

   c. Be continuously operational in a cloud environment during normal operations.

451. At a minimum, the COOP must contain:

   a. Plans and procedures;

   b. Identification of essential functions;

   c. Alternate facilities;

   d. Interoperable communications;

   e. Vital records and databases; and

   f. Tests, training, and monthly exercises and drills.

452. Upon implementation, the COOP must:

a. Outline a decision process for determining appropriate actions in implementing COOP plans and procedures;

b. Establish a roster of fully equipped and trained emergency providers and State personnel with the authority to perform essential functions and activities;

c. Include procedures for employee advisories, alerts, and COOP Plan activation, with instructions for relocation to predesignated facilities, with and without warning, during duty and non-duty hours. This includes providing for personnel accountability for the duration of the emergency and providing for continuous operational status in an active-active environment; and

d. Establish reliable processes and procedures to acquire resources necessary to continue essential functions.

453. Declaration of Disaster

a. A declaration of disaster, called by the State or by the Vendor, is defined as an event that would cause significant impact to the services provided by the application hosted by the Vendor..

b. In the event of a disaster being declared by either the Vendor or the State, MSOS expects the Vendor to be completely responsible for the restoration of system operations.

c. Vendor will be expected to invoke the appropriate disaster recovery plan within four (4) hours of the disaster declaration and the disruption of normal operations.

d. MSOS must be able to log on to the failover system at the disaster recovery site immediately upon the disaster declaration.

e. Vendor shall have 100% capacity of the operational system regardless of the declaration of the disaster by the State or the Vendor.

f. Vendor's failure to make a declaration of a Disaster within four (4) hours shall result in any system downtime, as a result of this incident, being deemed as unscheduled downtime.

g. In the event of a disaster declaration, the Vendor must remain in regular and consistent communications with MSOS, keeping all relevant managers and responders informed and updated on efforts to restore normal operations.

V. IMPLEMENTATION REQUIREMENTS

A. Vendor Acknowledgement

454. This Section outlines the MSOS minimum expectations of the awarded Vendor for the implementation of the selected solution. Implementation deliverables will reveal the Vendor's expertise in project management, Businesses, UCC, Charities, Regulation & Enforcement, Securities, and Public Records Filing Systems process management and improvement, data migration, acceptance testing, etc. MSOS expects the proposed

preliminary implementation plans to be refined by the awarded Vendor and MSOS project managers during the implementation process.

455. This Section includes requirements for. Proposal specifications require the Vendor to present detailed plans, strategies, and methodologies to prove Vendor capabilities. Post-award requirements require the implementation of the proposed plans, strategies, and methodologies as agreed upon by the State and the awarded Vendor. For all such requirements, the term Vendor is used interchangeably, and the intent is determined by the context of the requirement.

456. Upon award, MSOS intends for the requirements outlined in this Section V and the responding Vendor's proposal, including any subsequent, agreed-upon provisions and revisions, to act as the Implementation Statement of Work.

457. The Vendor must acknowledge that they have read and understand the intent of Attachment A, Section V, Implementation Requirements.

B.   General Scope

458. The Vendor must agree to implement the selected solution to achieve the following minimum goals:

a.   Replicate the functional, technical, and administrative capabilities of the existing systems;

b.   Enhance the functional, technical, and administrative capabilities of the existing systems to meet all requirements;

c.   Migrate the existing formatted database content from the existing solutions to the selected solution;

d.   Conduct extensive testing of the proposed system to identify and correct deficiencies in base capabilities, customizations, integrations, interfaces, migrations, and MSOS processes. Such efforts must include but may not be limited to:

1) On-site Testing;

2) COOP Testing;

3) User Acceptance Testing; and

4) Final Acceptance Testing.

e.   Train system users and provide complete system documentation and user documentation.

C.   Program Management

459. The Vendor agrees to establish a formal Program Management Office (PMO), which will be responsible for executing the total effort required for implementation, testing, acceptance, training, and maintenance of ongoing operations of the proposed solution.

The Vendor must define roles, responsibilities, authority structures, and reporting requirements for each organizational element.

460. The Vendor agrees to appoint a Project Manager to be responsible for overseeing the execution of all facets of implementing the proposed solution.

    a. The Project Manager will have full authority over all program activities and Vendor resources, subject to MSOS oversight and approval;

    b. The Project Manager will be responsible for Vendor's technical, schedule, and cost performance;

    c. The Project Manager will be the principal interface between the Vendor and the State for all matters relating to the implementation of the proposed solution and the resulting contract with the State; and

    d. The Project Manager or their designee will be available to the State on a 24/7/365 basis, as needed.

461. As a part of program management, the Vendor agrees to conduct technical reviews and provide technical reports for ongoing operations for the term of the resulting contract.

    a. Vendor agrees to log all transaction and system activity necessary to evaluate performance and facilitate trend analysis; and

    b. Vendor agrees to conduct appropriate quality assurance and audits to ensure that logs are complete and accurate.

462. During the implementation phase, the Vendor agrees to meet with State designees to review program objectives, at least monthly or more often as needed, and on-site as needed:

    a. To confirm that technical problems have not caused the program to fail to maintain agreed-upon service levels;

    b. To provide immediate feedback for the resolution of any issues on a timely basis;

    c. To ensure that the parties are proactively identifying and addressing issues that could adversely affect service levels; and

    d. To provide a written review of the status of all plans and documents described in RFP No. 4585.

463. The Vendor agrees to participate in a program kickoff meeting at a State facility 30 days before the date scheduled for declaring the State's Initial Operating Capability (IOC). The purpose of the meeting is to introduce key State project staff and Vendor's operations support personnel, discuss plans, examine risks, and address any other issues important to successful operations.

464. The Vendor agrees to conduct periodic quarterly or semi-annual Operational Management Reviews to address any concerns, including but not limited to:

    a. Performance against SLAs;

    b. Financial and schedule status;

c.   Planned activities;

d.   Action items/status;

e.   Problem report status;

f.   Configuration management and quality assurance reporting;

g.   Issues and risks; and

h.   Other service level shortfalls and plans for corrective action.

465.   Vendor understands that the State expects operational management review meetings to be held at MSOS or State sites. For meetings not held at State sites, the Vendor agrees to assume responsibility for Vendor-related travel expenses.

466.   Vendor agrees to participate in required operational management review meetings as requested by the State or as required by operational conditions.

467.   For operational management review meetings, the Vendor agrees to provide agendas, presentation materials, minutes, technical reports, and system performance reports.

D.   Project Management

468.   Project Management Plan (PMP): The MSOS desires to implement the proposed solution as rapidly as possible after contract execution. So that MSOS can assess the Vendor's ability to implement an accelerated schedule, the Vendor must submit with its response a draft PMP that includes but is not limited to all tasks (all phases), estimated hours per task, major project milestones, quality assurance checkpoints, testing, etc.

469.   MSOS prefers the Vendor to use Microsoft Project as the tool for preparing and maintaining the PMP.

470.   The Vendor's PMP must reflect industry best practice standards and must detail the Vendor's plans for planning, monitoring, supervising, tracking, and controlling all project activities.

471.   The Vendor's PMP must describe the organizational structure, the implementation team, team member roles and responsibilities, resources, processes, and all other information necessary for MSOS to assess your ability to manage the implementation.

472.   MSOS will provide resources to work with the awarded Vendor in the various stages of project development, design, implementation, testing, and maintenance of the proposed solution. Below is an overview of the available MSOS staff. Based on prior experience, the Vendor should provide a high-level estimate of the amount of time state resources might be necessary for the primary stages outlined in the preliminary project management plan.

Job Function	Available Staff
Chief Information Officer	1
Project Manager	1

Business Analyst – Knowledge Expert	12
Senior Programmer Analyst – Technical	1
Senior Business System Analyst – Technical	1
Total Available	**16**

473. Vendor's PMP must include an Integrated Master Schedule (IMS) that the Vendor agrees to maintain and update as necessary in response to implementation requirements. The project timetable must estimate the time necessary for all phases of implementation from the point of contract execution through completion of go-live, final system acceptance, and user training.

E. RFP 4585 Compliance Documents

474. Reference documents and required standards cited by this RFP will be considered compliance documents.

   If Federal or State compliance documents or standards are updated during the scope of this implementation, the Vendor must agree with the State to recognize and comply with the updated documents or standards.

475. If Vendor proposes changes to compliance documents during the scope of this implementation, Vendor agrees to:

   a. Identify existing material that needs to be replaced or updated;

   b. Identify the proposed new material and/or associated data items;

   c. Provide a rationale for using the new items including cost, schedule, performance, and supportability impact; and

   d. Obtain State approval.

F. System Design and Development

476. Before implementation, the Vendor must prepare a System Design Document (SDD) for review and State approval. The SDD must:

   a. Include a conceptual model of the system architecture. This can be illustrated by flowcharts;

   b. Include descriptions and illustrations of modules that handle specific system tasks;

   c. Include descriptions and illustrations of components that provide a function or group of related functions;

   d. Include descriptions and illustrations of interfaces that share boundaries across the components where the system exchanges related information;

   e. Include descriptions and illustrations of data flow and the management of this information;

   f. Include complete workflows for all operational user and administrative functions; and

   g. Include database scheme, listing all the tables, fields, and characteristics.

477. When the SDD document has been approved by the State, the Vendor may proceed with implementation.

478. The Vendor must provide a sandbox environment for MSOS project staff and SMEs to utilize during implementation to ensure the continuity of the design & functionality is being executed during configuration and development.

G. System Migration Plan

479. The Vendor must prepare a comprehensive System Migration Plan that details the Vendor's approach to migrating MSOS from its current legacy system to a new environment under the proposed solution. So that MSOS can assess the Vendor's ability to conduct such a migration, the Vendor must provide a preliminary Migration Plan for MSOS with the following details and requirements:

   a. Vendor must be specific about the tools, data, facilities, personnel, and other resources required for the migration. Regarding personal and other resources, be specific about whether the resources are supplied by the Vendor, MSOS, or others. Vendors should keep in mind that MSOS has limited available resources; and

   b. Upon award, the system migration plan will be amended to meet specific migration needs as determined by the Vendor and MSOS.

H. Data Quality and Management Plan

480. The Vendor must agree to develop and document a Data Quality and Management Plan for the management of data, including legacy data and ongoing production data.

481. The Data Quality and Management Plan must detail how data will be handled during and after the implementation phase of the project.

482. The Data Quality and Management Plan must include multiple domains that can be managed through data governance, such as:

   a. Data architecture;
   b. Development & deployment;
   c. Testing;
   d. Operations;
   e. Vendor's management of the system;
   f. Security and Access;
   g. Document and Content Management;
   h. Legacy Data; and
   i. Data quality and management

483. The Data Quality and Management Plan must ensure that data is:

   a. Consistently and uniformly collected;
   b. Exchanged and maintained confidentially; and
   c. Monitored by automated functions.

484. At a minimum, the Data Quality and Management Plan must address data quality, data creation, acquisition, usage, storage, bi-directional exchanges with stakeholder entities, and any other data management practices critical to the success of the proposed solution.

I. Data Conversion and Migration Plan

485. The Vendor must migrate legacy data from the current system to the awarded solution.

486. So that MSOS can assess the Vendor's ability to migrate MSOS legacy data to the proposed solution, the Vendor must submit a preliminary Data Conversion and Migration Plan. The Vendor must be specific about their methodology. Highlight any known risk factors and present risk mitigation plans.

487. The Data Conversion and Migration Plan must specifically address plans to ensure that converted and migrated data is accurate and complete.

488. The Vendor agrees to work with MSOS to define and execute data cleanup efforts before conversion.

489. The current database consists of the following number of active tables: Corp 256, UCC 319, and BRE (Charities, Securities, Preneed, R&E) 510. More details are outlined in Attachment D – "Database Table Counts" (Excel File).

490. The Vendor must detail data migration testing plans to validate the successful migration from the legacy system to the proposed solution.

491. The Vendor must work with the MSOS project implementation team to update and modify the preliminary data migration plan as appropriate.

492. The Vendor must agree that final data migration and data migration testing plans are subject to approval by the MSOS.

493. The Vendor must propose a set of system acceptance validations/tests that will demonstrate that the Vendor has complied with the Data Conversion and Migration Plan. This set of system acceptance validations/tests, along with the Data Conversion and Migration Plan, must be approved by MSOS before any data migration occurs.

494. The Vendor must perform Load Testing following the data conversion given the volume of active data being migrated.

495. During/following conversion completion, the Vendor/MSOS must perform the acceptance tests in the Data Conversion and Migration Plan. MSOS will review the acceptance plan results and provide an acceptance or rejection letter signed by the proper MSOS authority to the Vendor. Only if the Vendor receives the acceptance letter will the conversion be considered complete and accepted.

J. System Integration Testing (SIT)

496. The Vendor must make the System Integration Testing (SIT) process transparent during the project and provide outcomes to MSOS.

497. The Vendor must include the MSOS in the SIT process.

498. The Vendor must include the SIT schedule and process in the Project Plan.

K. User Acceptance Testing (UAT)

499. The Vendor agrees to use migrated data for User Acceptance Testing (UAT) and not use test data.

500. Vendor agrees to conduct UAT to prove that the system fully meets the requirements of RFP No. 4585.

   a. Vendor agrees that UAT procedures will include both scripts and normal operations to test end-to-end workflows, including all MSOS interfaces;

   b. Vendor agrees that UAT will include all reasonably expected events, such as full backup and restore and switchover to the COOP site; and

   c. Vendor agrees that UAT will provide a full suite of reports generated during the UAT period to validate the reporting functions.

501. The Vendor must agree to regular status meetings with the MSOS project management team to review progress on UAT.

   The vendor agrees to submit meeting agendas, presentation materials, and subsequent meeting minutes.

502. The Vendor must submit a preliminary, comprehensive UAT plan to demonstrate their ability to conduct user acceptance testing.

503. Vendor's UAT plan must incorporate the following minimum components:

   a. UAT Test Procedures and Methodologies;

   b. UAT COOP Plans;

   c. UAT Test Report; and

   d. Training Materials.

504. Upon award, the Vendor agrees to finalize the preliminary UAT plan with input from the MSOS project team.

   a. Vendor agrees that the final UAT plan requires approval from MSOS;

   b. Vendor agrees that MSOS expects to witness the execution of the UAT;

   c. Vendor agrees that MSOS retains the right to determine the success or failure of individual UAT tests; and

   d. The Vendor must provide the facilities, equipment, and personnel to support the services identified in UAT.

505. The Vendor must agree to provide the equipment and personnel to identify and resolve discrepancies between the results of the legacy system(s) and the results of the Vendor-delivered system(s). The Vendor must agree to

take corrective measures at no additional cost to MSOS when such discrepancies fail the Vendor-delivered system(s).

L. User Training and Documentation

506. The solution must provide thorough online tutorials and training geared toward users.

507. The Vendor must provide training documentation and keep it updated as appropriate. The web-accessible format is acceptable to MSOS.

508. Before going live, the Vendor must agree to adequately train MSOS staff users and administrators on how to use the system to successfully perform their respective tasks and workflows.

509. The Vendor must agree to train MSOS staff users and administrators in the effective use of the document management system.

510. The Vendor must train the primary system administrators in all facets of system use, including but not limited to oversight, reporting, security, workflow, archival, and audit trail functions.

511. The solution must provide context-sensitive help for users throughout the case management process from origination to archival.

M. Product Updates

512. Describe your release management methodology and processes for updating your software for all types of releases, including but not limited to:

    a.   Security Updates;

    b.   System Maintenance;

    c.   System Enhancements; and

    d.   Education and Training.

513. Describe how new functions and features are released and how much control clients have over which new features are implemented.

514. Enhancements and updates must be included with annual maintenance fees. The Vendor must include the related cost in Section VIII, Cost Information Submission of RFP No. 4585.

N. Change Management and Control

515. The Vendor must agree that upon award, the Vendor will describe, justify, and submit all proposed changes to the agreed-upon project deliverables to MSOS for approval. Such proposed changes include but are not limited to project scope, all implementation requirements, technical, functional, and configuration requirements, and/or all other agreed-upon project deliverables.

516. The Project Manager must develop a Change Management Plan (CMP) for MSOS that will be executed during implementation and followed throughout the lifecycle of the project. At a minimum, the CMP must include the following components:

a. Readiness assessments;

b. Communication and communication planning;

c. Change management activities/events and related roadmaps;

d. Coaching and manager training for change management;

e. Developing and providing all facets of user training, including training the trainer;

f. Mitigation of change resistance to the awarded solution;

g. Data collection, feedback analysis, and corrective actions;

h. Celebrating and recognizing success; and

i. After-project review.

517. The Vendor must agree to follow the State's process for change control, which consists of the following minimum components:

a. Change Request Identification via Change Request Form - Documentation of change details such as type of change, benefits of change, resources, time and cost estimates, authorizations, etc. (Vendor);

b. Change Request Assessment (State);

c. Change Request Analysis (State/Vendor);

d. Change Order to Agreement (State/Vendor);

e. Change Request Approval (State);

f. Change Request Implementation (Vendor, overseen by State); and

g. Change Log – Project details such as project number, priorities, target date, status, etc. (Vendor).

VI. SOFTWARE ADMINISTRATION AND SECURITY

A. General

518. For hosted services, the system design must allow MSOS to comply with the State of Mississippi Enterprise Cloud and Offsite Hosting Security Policy. The State of Mississippi Enterprise Cloud and Offsite Hosting Security Policy is located on the ITS website at www.its.ms.gov.

519. The solution must provide all software and system administration security features common to best practice management solutions, whether or not specified by this RFP.

520. The solution must provide controlled access to features and functions by configurable, role-based permissions as defined by MSOS.

521. The solution must allow the system administrator to set rights for access to data by individual(s) or group(s).

522. The solution must prevent unauthorized access to the system.

523. The solution must accommodate administrator user rights to all workflows and tasks as determined by MSOS.

524. Authorized MSOS staff must be able to restrict specific user groups from being able to view or print certain types of documentation.

525. Roles, security, and access rights must be easily configurable without Vendor assistance.

526. The solution must adhere to all current, relevant security and privacy standards.

527. The solution must offer up-to-date, best-practice identity management tools to govern user access, such as forced password changes, historical password checks, and the setting of temporary passwords, etc.

528. The Vendor shall describe how their proposed solution adheres to established security and privacy standards such as HIPAA, Federal Information Security Management Act (FISMA), Privacy Act, Federal Tax Information (FTI), and other Federal and State laws, regulations, and policies where applicable.

529. The Vendor shall describe their established business and technical protocols to ensure that the transmission and storage of information remains encrypted while in transit and at rest.

530. At the State's request, the Vendor shall invoke a process for masking, sanitizing, scrambling, or de-sensitizing sensitive data (e.g., PHI/PII) when extracting data from the production environment for use in another environment for testing purposes.

B. Security Audit

531. The vendor shall complete Risk Assessments and Security Audit reports on an annual basis, as well as when additions or changes to functionality affect the security framework and architecture or when a new vulnerability is identified.

532. The Vendor shall cooperate and assist the State in responding to all Federal, State, and law enforcement questions, as well as audit and review requests. The Vendor shall provide audit support including random sample generation, data extracts, and hard-copy documents, and shall provide any requested data or information.

533. Vendors shall make themselves available for third-party auditors that ensure compliance with State and Federal security and privacy rules. The Vendor shall provide a mitigation plan for all reported deficiencies. Major and critical deficiencies shall be corrected within established and agreed-upon timelines.

VII. FINAL ACCEPTANCE REVIEW

534. Vendor agrees that upon the successful completion of all implementation phases, MSOS will conduct a Final Acceptance Review (FAR) to determine whether or not the Vendor has satisfied the terms and conditions of the awarded contract, which includes the requirements of this RFP No. 4585, Attachment A.

VIII.   SUPPORT AND MAINTENANCE

A.   Customer Support

535.   The Vendor must provide continual, around-the-clock (24/7/365), manned network operating center (NOC) support and monitoring. This includes but is not limited to operating system support, network monitoring and health performance, network availability, and network security reporting. These services must be offered within the continental United States.

536.   The Vendor must provide a toll-free telephone number for MSOS staff to call 24/7/365 and an always-accessible website for trouble reporting. All telephone customer support must originate in the Continental United States and all support staff must be able to communicate clearly in the English Language.

537.   The Vendor must disclose instances where a third party or sub-contractor is being used for any portion of customer support services, including the intake of reported problems.

538.   The Vendor must keep the appropriate MSOS management and technical support staff updated on the status of trouble resolution.

539.   The Vendor agrees to provide adequate training for the effective access and use of support services as requested by the State.

540.   The Vendor agrees to provide always-updated documentation of all support processes.

B.   Issue Tracking

541.   The Vendor shall use an industry-standard tracking system to thoroughly document issues and requests for MSOS.

542.   Describe how operational trouble issues are submitted, prioritized, tracked, and resolved.

543.   Describe how software performance issues are submitted, prioritized, tracked, and resolved.

544.   Describe how user support issues are requested, prioritized, tracked, and resolved.

545.   Detail your escalation procedures for responding to trouble tickets, software performance, and user support issues.

546.   The Vendor shall provide a customer portal for MSOS to track help desk ticketing and incident resolution.

547.   Details of MSOS environments within the custody of the provider must be readily available to any authorized support personnel of the provider, including but not limited to architecture diagrams, network connectivity diagrams, service level agreements (SLA), contacts, backups, and monitoring alerts.

548.   The Vendor must provide a monthly issue tracking report as defined by MSOS. For example, the report must detail and comment on any open

tickets at the end of the month, all issues opened and closed within the past month, and other details as required by MSOS.

549. For issue tracking, the solution must be capable of on-demand as well as auto-run reporting.

C. **Service Level Agreements**

550. MSOS requires notifications of service outages or degraded performance. The Vendor shall communicate notifications via a support ticket, email, telephone call, or by all three methods, depending upon the severity of the situation. Upon service restoration, the provider shall provide fault isolation and root-cause analysis findings in restoration notices to MSOS points of contact.

551. The Vendor must provide root-cause analysis notifications within two business days of the incident. The Vendor must have proven technology, processes, and procedures to escalate problems to MSOS points of contact via a call tree-based solution, depending on the severity and type of issue.

552. The Vendor must provide a work effort estimate once a root-cause analysis is complete and be willing to expedite issues rated as "Major" or "Severe" depending on the root-cause.

553. The provider shall follow the problem severity guidelines specified in Table 1 for assigning severity levels for incident creation.

Table 1 - Deficiency Priority Levels

Priority Level	Description of Deficiency	Response Timeframe	Resolution Time

Table 1 - Deficiency Priority Levels

1 **Critical**	The system is down (unscheduled downtime), is practically down (e.g., extremely slow response time), or does not function at all, as determined by the State. There is no way to circumvent the problem; a significant number of State users are affected. A production business system is inoperable.	One hour from intake	Eight consecutive hours of intake
2 **Severe**	A component of the solution is not performing by the specifications (e.g., slow response time), creating significant State business impact, its core functionality is not available, or one of the system requirements is not met, as determined by the State.	Four hours from intake	24 hours from intake
3 **Moderate**	A component of the solution is not performing by the specifications; there are unexpected results, and there is moderate or minor operational impact, as determined by the State.	24 hours from intake	14 days from intake
4 **Low**	As determined by the State, this is a low-impact problem that is not significant to operations or is related to education. Some examples include general *how-to* or informational solution software questions, understanding of reports, and general *how-to create reports* or documentation requests.	48 hours from intake	Resolve educational issues as soon as practicable by the Vendor. Low-impact software or operational issues are to be resolved by the next version release or six months unless otherwise agreed to by the State and Vendor.

D.   Remedies for Failure to Meet Service Levels

554.   The Vendor agrees that service credits will accrue for unscheduled downtime, including the Vendor's failure to meet system availability requirements or response time requirements for curing deficiencies.

555.   For purposes of assessing service credits, response timeframes will be measured from the time the Vendor is properly notified until the State determines that the deficiency has been resolved.

556. For purposes of assessing service credits, the Vendor agrees that credits will be measured in monthly cumulative minutes for unresolved deficiencies and unscheduled downtime.

557. The Vendor agrees that Priority Levels 1 and 2 response time deficiencies will be considered unscheduled downtime and will entitle the State to service credits by Table 2, Service Credit Assessments.

558. Without limiting any other rights and remedies available to the State, the Vendor agrees to issue service credits by the measures prescribed by Table 2, Service Credit Assessments.

559. The Vendor agrees that service credits will be calculated separately for each applicable deficiency and will be assessed at the end of each month of system maintenance.

560. The Vendor agrees that after thirty (30) days of continued, deficient response time, according to the SLA, the State will consider the conditions to be equal to unscheduled downtime, and the service credits in Table 2 will go into full force and effect.

561. The Vendor agrees that service credits are not penalties and, when assessed, will be deducted from the State's payment due to the Vendor.

Table 2 – **Service Credit Assessments**

Length of Continuous Unscheduled Downtime	Service Credits
1 to 4 hours	One day of Service Credits equal to 1/30th of Monthly Fees
4 to 48 hours	Two days of Service Credits equal to 1/15th of Monthly Fees
48 to 96 hours	Five days of Service Credits equal to 1/6th of Monthly Fees
Each additional block of 96 hours thereafter	Additional Five days of Service Credits equal to 1/6th of Monthly Fees

E.   System Monitoring

562. Vendor agrees to provide monitoring services to cover all the services provided by the Vendor, including but not limited to:

   a.   Network connectivity (i.e., whether the network is up or down, and real-time bandwidth usage);

   b.   Full stack application monitoring;

   c.   Services running on the operating systems;

   d.   Performance indicator;

e.   Network latency;

f.   Utilization (e.g., memory, disk usage);

g.   Trending (for a minimum of one year);

h.   Sharing of the monitored data with MSOS through a portal;

i.   High Availability – The provider must have capabilities to detect failover to another region or availability zone in the event MSOS workload and services failover; and

j.   The Vendor must provide detailed examples of how it has integrated alerts that are initiated by monitoring technologies into their support processes.

F.   Backup Services

563.   The Vendor must be able to configure, schedule, and manage backups of all the data, including but not limited to files, folders, images, system state, databases, and enterprise applications.

564.   The Vendor must maintain backup system security and application updates.

565.   The Vendor must provide cloud backup options.

566.   The Vendor must encrypt all backup files and data and must manage encryption keys. At a minimum, the backup options must encompass a strategy of daily incremental and weekly full backups. All cloud instances must include options for snapshots and backups of snapshots.

567.   The encrypted backup should be moved to another geographical cloud region. Regardless of the method of backup, weekly full backups must include system State information. MSOS retention requirement for all backups is fifty-five (55) weeks. Backup retrieval must be started within two hours of notification from MSOS. The Vendor must monitor all disaster recovery instances, including replication and instance performances.

568.   The solution must be capable of running backup reports weekly or in whatever sequence is required by MSOS. For example, the report should reveal which jobs completed, which jobs failed, which jobs restarted, etc.

569.   For backup reporting, the solution must be capable of on-demand as well as auto-run reporting.

570.   The Vendor must be willing to provide backups on demand related to development, database changes, or emergencies.

571.   The vendor must provide unlimited data retention to prevent document and record spoilage.

G.   Patching

572.   The Vendor must provide patching capabilities for all MSOS systems in the cloud. Patching must cover all Microsoft and non-Microsoft vulnerabilities.

573.   The Vendor must manage the deployment of new patches in the MSOS environment before production deployment and must be capable of

excluding patches from normal patching based on requests from MSOS. This may include service packs and other application-specific patches.

574. The Vendor must provide MSOS with a list of patches to be applied before each patching event.

575. From time to time, MSOS may request that specific patches be performed outside of the normal monthly patching cycle. The provider must be capable of supporting these out-of-cycle patch requests.

H. Processes

576. The Vendor shall have mutually agreed-upon processes and policies in place to support system operations.

   a. Any modifications to the agreed-upon policies and processes must receive prior approval from MSOS;

   b. Such processes and policies must be thoroughly documented; and

   c. Such processes and policies must be reviewed by the Provider and MSOS at least annually.

I. Software Updates

577. Once available, the Vendor must provide all software updates necessary to keep current with the proposed solution's technology standards, industry standards, third-party software upgrades, enhancements, updates, patches, bug fixes, etc.

   Such software updates shall include but are not limited to enhancements, version releases, and other improvements and modifications to the core solution software, including application software.

578. The Vendor agrees that maintenance services will also include maintaining the compatibility of the solution software with all applicable contractor-provided interfaces.

579. Vendor must provide notice to MSOS at least three (3) business days before any anticipated service interruption; notice must contain a general description of the reason for the service interruption.

580. Vendor agrees that before installation of any third-party software or any update thereto, Vendor must ensure compatibility, promptly upon release, with the then current version of the software.

   a. Vendor agrees to ensure compatibility with all required or critical updates to third-party software, including, without limitation, service and compatibility packs, and security patches; and

   b. Vendor agrees that third-party application software incorporated by the Vendor is subject to the same maintenance and service obligations and requirements as the application software components that are owned or are proprietary to the Vendor.

J. Technology Refresh and Enhancements

581. The Vendor agrees to conduct joint technology reviews with the State to guarantee that the software and system security are adequate for State purposes and are consistent with then-current technology used in similar systems.

K. Development and Configuration Block Services Hours

582. The Vendor must provide pricing for Two Thousand Five Hundred (2,500) block service hours for enhancements to the system functionality and design. These service hours:

    a. Will only be billable when utilized during a contract year. Unused service hours cannot be invoiced; and

    b. Are fully loaded and cover the complete cost for development, system configuration, testing, UAT, deployment, etc. (Dev to Prod Cycle).

583. When system enhancements are requested, the Vendor will provide MSOS with an itemized Statement of Work (SOW) and include the number of block service hours, by item, required to complete the request.

    a. MSOS will have up to 30 days to review and approve the submitted SOW;

    b. Vendor can begin the enhancement work after the MSOS approves the SOW; and

    c. Vendor can invoice the MSOS for the completed work after a 30-day, error-free system deployment.

L. Change Order Rates

584. After implementation and acceptance of the services procured by this RFP, MSOS may require additional services, such as enhancements or other system-related needs. The Vendor must include a fully loaded change order rate as a separate line in the Vendor's Cost Information Submission, Section VIII of RFP No. 4585.

IX. DELIVERABLES

A. General

585. The Vendor must agree to provide the deliverables described in Table 3 below. So that the State can evaluate Vendor capabilities, the Vendor should make preliminary deliverables as detailed as possible to show compliance with the specific RFP requirements. Post-award and before implementation, the Vendor and MSOS will amend deliverables as appropriate. MSOS approval is required for all deliverables before implementation.

Table 3 – Deliverables for RFP 4585

1. Project Work Plan and Schedule (Section I, G)
2. Project Plans to include the following (provide itemized costs):

a.	Continuity of Operations Plan (Section IV, F)
b.	Project Management Plan (PMP) (Section V, D)
c.	System Migration Plan (Section V, G) (Preliminary, then updated by module after award.)
d.	Data Quality and Management Plan (Section V, H)
e.	Data Conversion and Migration Plan (Section V, I)
f.	User Acceptance Test Plan (Section V, K)
g.	User Training Documentation (Section V, L)
h.	Change Management and Control Plan (CMP) (Section V, N)
i.	The Vendor must develop a RACI Model (Responsible, Accountable, Consulted, and Informed).

3.	System Documentation – complete and all-inclusive (Section V, B)

Deliverables by Module – Corp

1.	Business Entity Portal Setup with Searches
2.	Data Conversion
3.	Business Registrations and Filings – External Portal
4.	Business Registrations and Filings – Internal
5.	Standard Reports and Queries
6.	Corp-specific Interfaces to include B2B Annual Reports, MS Department of Revenue

Deliverables by Module – Uniform Commercial Code (UCC)

1.	UCC Customer Filing Portal Setup with Searches
2.	Data Conversion
3.	Import of UCC Images
4.	UCC Filings – External Portal
5.	UCC Filings – Internal
6.	Standard Reports
7.	UCC-specific Interfaces to include B2B Filings (high-volume bulk filings)
8.	UCC Customer Subscription Service

Deliverables by Module - Charities

1.	Charities Filing Portal Setup with Searches
2.	Initial Data Conversion
3.	Charities Registrations and Filings – External Portal
4.	Charities Registration and Filings – Internal

5. Standard Reports and Queries
6. Examinations and Investigations – shared with Charities, Securities, and Regulation & Enforcement
Deliverables by Module – PreNeed and Perpetual Care Cemeteries
1. PreNeed and Perpetual Care Filing Portal Setup with Searches
2. Data Conversion
3. PreNeed and Perpetual Care Registrations and Filings – External Portal
4. PreNeed and Perpetual Care Registrations and Filings – Internal
5. Standard Reports and Queries
6. Examinations and Investigations – shared with Charities, Securities, and Regulation & Enforcement
Deliverables by Module – Securities
1. Securities Web Page with Search
2. Electronic Import of Securities Filings and Related Payments
3. Data Conversion
4. Securities Registrations and Filings – Internal
5. Standard Reports and Queries
6. Examinations and Investigations – shared with Charities, Securities, and Regulation & Enforcement
Deliverables by Module – Public Records Requests
1. Public Records Filing Request Portal Setup
2. Data Conversion
3. Public Records Request – External Portal
4. Public Records Request – Internal
Deliverables by Module – Revenue Receipting System
1. Internal Revenue Receipting for all Modules
2. Data Conversion
3. Interface with Regions Bank
4. Interfaces with Internal Modules Databases