

ATTACHMENT A

TO

RFP No. 4586

Mississippi Secretary of State's Office
(MSOS)

**CAMPAIGN FINANCE & LOBBYIST REGISTRATION-
FILING SYSTEM**

Technical Specifications

Project No. 47844

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Filing System for Mississippi Secretary of State’s Office

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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 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, many items in this RFP require detailed and specific 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 details of how their response meets or exceeds each specification.

B. Mississippi Department of Information Technology (MS 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.
 - 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 ensure that all State data, including backup data and Disaster Recovery locations, remain within the continental United States. Remote access to State data by Vendor personnel and contractors will only be permitted as

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necessary for technical support and at no time will data be transmitted, viewed, or stored outside the continental United States.

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 impossible, 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, at minimum, 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 the claim is made, or a 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 above 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

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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 or 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 a period of ninety (90) days after the effective date of the termination. After such a ninety (90) day period, the Vendor shall have no obligation to maintain or provide any State data and shall, 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 of its forms, such as disk, CD/DVD, backup tape, and paper. Data shall be permanently deleted and not recoverable, according to National Institute of Standards and Technology (NIST) approved methods. 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 for an agency customer to request reports of activities of a specific user associated with that agency. These mechanisms should be defined upfront and available for the entire agreement with the Vendor.

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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 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 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. 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 current condition of the STAR system utilized by the Mississippi Secretary of State (MSOS) for both Campaign Finance and Lobbying poses a significant concern for the agency. The Campaign Finance system, which was originally deployed in 2016, and the Lobbying System, which was originally deployed in 2011, is built on a STAR system that is now twenty (20) years old and is rapidly becoming increasingly outdated and needs to be updated to keep up with modern technology’s evolving capabilities and functionalities. During the 2023 election cycle, the Mississippi Secretary of State’s Office made the difficult decision to halt our online filing system due to concerns about its functionality and the accuracy of information. The Vendor supporting the system can only provide essential maintenance and limited enhancements due to the system’s age, further exacerbating the problem. While some updates are feasible, the technological limitations constrain the aging STAR system. Therefore, there is a clear and pressing business need to replace the system with a more modern and capable solution to meet the agency’s evolving requirements and leverage technological advancements to streamline operations and enhance user experience.

MSOS is seeking a commercial off-the-shelf (COTS) or Software-as-a-Service (SaaS) application as a replacement solution. This approach would provide several advantages, including access to modern technologies, regular updates, and robust

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support from the Vendor. The proposed system should be modular in its construction, allowing Campaign Finance and Lobbying to be tailored to their needs.

D. Statement of Understanding

23. The Vendor must agree to provide best practices, industry-standard tools, and methodologies. The Vendor acknowledges that the State will not accept proprietary formats.
24. The Vendor must agree to design and implement a solution that will comply with all relevant Election filing regulation(s), whether said requirements are articulated by this RFP.
25. The Vendor must acknowledge and agree that if a conflict exists between the requirements of this RFP and the election regulations referenced, the Election regulations shall govern.
26. 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.
27. The Vendor will be responsible for implementing the Campaign Finance and lobbyist 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.
28. The solution must be customizable and highly configurable to meet MSOS’s business needs and decrease the agency’s reliance on outside Vendors after the system is deployed.
29. 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.
30. 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

31. MSOS is seeking a government cloud-based solution. The cloud-hosted environment must support the Campaign Finance & Lobbyist filing application at maximum user capacity and the system’s database functions. The current system user accounts are as follows:

Campaign Finance	3,253
<u>Lobbyist</u>	<u>4,386</u>
Total System Users	7,639

The SOS requires that the system remain operationally optimal with maximum user activity, meaning:

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- a. **Central Processing Unit (CPU) Utilization:** Keep CPU utilization between sixty and eighty percent (60%-80%) during peak loads. Consistently high utilization above eighty-five percent (85%) can indicate a need for more processing power or optimization of workloads.
 - b. **Memory Usage:** Memory usage must be optimized. If the System is frequently reaching memory usage above seventy-five percent (75%), more Random Access Memory (RAM) and additional optimization of memory may be required.
 - c. **Disk Input/Output (I/O):** The System must monitor disk I/O rates. If the System is experiencing high I/O wait times, optimizing disk performance or upgrading to faster storage solutions may be required.
 - d. **Network Latency and Throughput:** System must keep network latency low and throughput high. If network performance is an issue, optimizing configurations or upgrading network hardware may be required.
 - e. **Load Balancing:** For systems with high user counts, load balancing can help distribute traffic evenly, preventing any single server from becoming a bottleneck.
 - f. **Database Performance:** For systems reliant on databases, Vendor must ensure that database queries are optimized and that the database is properly tuned for performance.
32. A Vendor-hosted solution must meet the following minimum requirements:
- a. The Vendor must provide Managed Services (government cloud), including migration of 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.
 - d. The Vendor must provide cloud hosting details and pricing in RFP Section VIII – Cost Information Submission.

F. Vendor Qualifications

33. **MANDATORY:** The Vendor must be in the business of providing vendor-hosted Election Campaign Finance and Lobbyist filing services solutions of similar size, scope, and complexity. Vendor references submitted in RFP Section IX; References must substantiate this experience.
34. The Vendor must have a working solution deployed currently in a production environment and have been providing such solutions for at least three (3) years. The Vendor’s response should indicate how many years of experience they have in providing such services and should include descriptions of the provided services.
35. The Vendor must specify the location of the organization's principal office and the number of executive and professional personnel employed at this office.
36. 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

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- offices and their locations, and structure (for example, state, national, or international organization).
37. The Vendor must disclose any company restructurings, mergers, and acquisitions over the past three (3) years.
 38. The Vendor must provide the following organizational information:
 - a. Date established;
 - b. State of incorporation;
 - c. Ownership information including public or private, parent company and subsidiaries; and
 - d. Name, title, address, telephone number, and email for the “Notice” article of the contract.
 - e. The Vendor must also include a summary of any legal action(s), citations where filed, and status in the response.
 39. The 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. Vendor Implementation Team and Work Requirements

40. 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. 4586. At a minimum, the Vendor’s response must include team member roles, functional responsibilities, and experience with projects similar in size and scope to the services required by this RFP.
41. 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 activities necessary for successful project implementation. Key Personnel (whether Prime or Subcontractor) shall be committed and dedicated for the project’s duration and shall have sufficient prior experience to address the specifics. The Vendor shall identify all staff who are considered Key Personnel.
42. 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 on-site at least fifty percent (50%) of the time. Required on-site activities include planning, status meetings, discovery sessions, design sessions, client walkthroughs, and key testing and implementation activities. At the State’s discretion, additional on-site time may be required for Key Personnel during certain periods.
43. 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.
44. The Vendor cannot substitute Key Personnel during the contract period except for the following conditions: a request by the State, an individual’s sudden illness, death,

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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 substitutions of Key Personnel shall be proposed to MSOS in writing at least twenty (20) business days before the substitution;
 - b. The State shall agree to the substitution before the substitution shall become effective; and
 - c. The Vendor can only offer an Interim staff member to fill a Key Personnel role for forty-five (45) days while they seek another qualified Key Personnel member.
45. The Vendor must submit organizational charts to substantiate each of the following:
- a. Identify the roles and associated staff proposed for the Campaign Finance and Lobbyist filing project;
 - 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.
46. 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

47. 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 but is not limited to tasks (all phases), estimated hours per task, major project milestones, quality assurance checkpoints, etc., and provide an estimated timetable detailing all phases of implementation from the point of contract execution through completion of go-live, final system acceptance, and user training.
48. Upon award, the Vendor and MSOS will jointly modify the preliminary project work 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.
49. The Vendor will be responsible for any integration, migration, or implementation issues that may arise during implementation.
50. 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.
51. The Vendor must develop a Responsible, Accountable, Consultative, and Informed (RACI) Model for the project, which MSOS will approve before the project start date.
52. The Vendor should identify risks, roadblocks, and challenges encountered in similar implementations that could negatively affect the timely and successful completion of

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the project. In addition to identifying these risks, the Vendor should recommend strategies to mitigate them.

53. The proposed Project Work Plan and Schedule require MSOS approval and must include multiple environments, including, but not limited to, Development, User Testing, Production, Training, and Help Desk support.
54. In the user testing environment, MSOS must test and validate all customizations, integrations, and interfaces.

II. FUNCTIONAL TECHNICAL REQUIREMENTS

A. General

55. The solution must consist of four (4) environments: Development, User Testing, Production, and Training.
56. The solution must provide Multifactor Authentication (MFA) for all users logging into the system. The functionality must combine something a user knows, something a user has, or something a user is given. Text message (SMS) delivery in the process is not acceptable.
57. At implementation, the proposed solution must accommodate at least eight (8) MSOS staff member users who manage and track a maximum of four thousand five hundred (4,500) filings at some point during a reporting cycle.
58. The solution must provide efficient and cost-effective storage and retrieval.
59. The solution must be sized to meet current needs and accommodate future growth.
60. The solution must conform to Miss. Code Ann. Sections 23-15-801 through 23-15-821.
61. The solution must provide configurable, role-based administrative tools and controls.
62. The solution must be highly configurable and, at a minimum, allow authorized users to configure business rules, data elements, screens, workflows, notifications, navigation, and dashboards.
63. The solution must include a calendar function allowing multiple calendars to schedule applicable workflow actions, deliverables, due dates, notifications, etc.
64. The solution must provide real-time information to all modules so that data is immediately available in all functions, including reports.
65. The solution must ensure that notes or comments added to a record can only be edited or deleted by the originator or another authorized user.
66. The solution must provide data import and export capabilities using Excel and other common file formats.
67. The solution must accommodate context-sensitive messaging, error messaging, help, and instructions to authorized users and MSOS staff.
68. The solution must support typical Microsoft Office functions such as cut, copy, paste, spell check, grammar check, etc.

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69. The solution must provide familiar keyboard shortcuts like those common to Microsoft Windows applications.
70. The solution must allow the simultaneous viewing of multiple projects and screens and the ability to minimize and resize windows as needed.
71. The solution must comply with ADA Standards for Accessible Design released by DOJ in April 2024.
72. Data elements must be accessible through dropdown menus, checkboxes, data pickers, etc., to ensure standardization of MSOS processes and data collection formats.
73. The solution must include standard email templates, correspondence templates, and the ability to produce mailing labels based on user-defined criteria.
74. The solution must provide a User Interface (UI) to build and manage templates.
75. The solution must allow authorized users to configure and maintain templates and components.
76. The solution must allow templates and components to be cloned or deleted by authorized users.
77. The solution must accommodate and accept the migration of current MSOS templates.
78. The solution must include flexible output formats such as .pdf and .xlsx or any other common format the MSOS uses.
79. The solution must provide conflict checking to flag such conflict occurrences as defined by the MSOS.
80. The solution must prevent users from permanently deleting records.
81. The solution must have data entry validation rules as designed and determined by MSOS.

B. Web Access

82. The solution must be web accessible to MSOS staff and external registered system users.
83. The 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.
84. The solution must offer a web-accessible portal to grant credentialed users access to MSOS-defined functions. The portal must be intuitive and easy to navigate.
85. The Vendor must specify any downloads, plug-ins, or additional software (add-ons) (e.g., Java, Flash, etc.) required to access the proposed solution.
86. 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 in their response to this requirement.

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87. 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.
88. Any costs associated with the use and maintenance of these downloads, plug-ins, or additional software must be included in RFP No. 4586, Section VIII – Cost Information Submission.

C. Mobile Access

89. The solution must be accessible to iOS and Android mobile devices.
90. The solution must be mobile-enabled and dynamically adjust the screen resolution based on the device’s size.

D. Campaign Finance

91. The solution must be capable of administering and recording penalties for late filing based on MSOS calendars.
92. The solution must allow contributions to be entered along with the date, amount, source, identification of the contributor, and, if necessary, the contributor’s occupation. It must also be able to aggregate contributions for individuals over multiple dates to determine if statutory reporting thresholds have been passed and prevent users from filing.
93. The solution must allow users to enter in-kind contributions, which must contain the same data referenced in item 92 (above) and include a description of the in-kind contribution.
94. The solution must allow the MSOS to set thresholds and alerts for instances where a user reports receipt of contributions exceeding the allowed amounts.
95. The solution must allow for disbursements to be entered and include address, purpose of disbursement, date, and amount of disbursement. The solution must also be able to aggregate disbursements to individuals over multiple dates to determine if statutory reporting thresholds have been passed and prevent users from filing.
96. The solution must allow MSOS to create registration forms for various entities, including campaigns, political action, and initiative committees. It must also require that users be approved by MSOS before registration is accepted and access to the system is allowed.
97. The solution must detect if registration data exists during registration. If duplicate user registration is detected, the solution should be able to merge accounts and keep existing user data.
98. The solution must include automated document drafting and integration. For example, the system should allow the public to generate reports for the campaign finance deadlines in PDF format.
99. The solution must allow MSOS to manage campaign finance compliance.
100. The solution must allow users to provide access to the campaign finance entity’s account to other registered users. For example, user A, who establishes a political

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action committee, must be able to provide privileges to user B to view, file, and amend campaign finance reports on behalf of the committee.

101. The solution must provide functionality for data deletion, archival, and retrieval as necessary to meet the Agency’s administrative needs, including, but not limited to, the following activities:
 - a. Manual review, identification, and approval of records to be archived;
 - b. Execution of pre-defined periodic archival jobs;
 - c. Automatic deletion of queries, reports, and saved batches after a system administrator-defined period has elapsed;
 - d. The ability to select specific records and move them from the current production tables to an archive file or media external to the database;
 - e. Deletion of election set-up; and
 - f. Deletion of individual registrant records if found to be duplicates.

E. Lobbyist

102. The solution must allow the user to create username and passwords, receive email notifications from the system, enter information into a fillable form, use calendars within the form, register a client or register multiple clients, cancel a registration, submit payment(s), view and print registrations and payment receipts, and accept registrations.
103. The solution must allow the user to register as an individual lobbyist, a client of a lobbyist, or a lobbyist firm. When registering, an individual lobbyist may be able to select from a previously registered lobbying firm.
104. The solution must have the capability to create temporary passwords; send automatic emails to lobbyists, lobbyist clients, and lobbying firms; create invoices; create certificate numbers; verify address information; verify email addresses; have prompts through the registration process; accept payments; have a database of clients registered in the system; and the ability to auto-populate client name if a similar or same name is being typed in the system.
105. The solution must be able to accept payments, send automatic email receipts, and send automatic messages to the lobbyist and client.
106. The solution must allow the user to file annual, mid-session, and end-of-session reports in compliance with the Lobbying Law Reform Act of 1994.
107. The solution must be able to display newly entered Actions and give options for editing and deleting information before the completion of each section and before proceeding to the next section.
108. The solution must allow the user to print reports, submit reports, electronically sign, go back and view submitted reports, edit and amend reports, etc.
109. The solution must provide the MSOS staff administrative privileges as the client to troubleshoot issues. (Use dates submitted on reports to create when reports are filed late and to pull information from reports to make it searchable within the system.)

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110. The solution must allow public users to view submitted reports, export to a spreadsheet, print, search by different categories listed from the reports, etc.
111. The solution must consider if a report has been started for the year selected, provide an alert to ask if they would like to continue with the Annual Report or delete the report.
112. The solution must track and store information from started, deleted, or continued reports.
113. The solution must function like the lobbyist and client Process for a user logging in as an “Association”. If an association has a change in employment, they must click an “Update” button from the Association Login Page. This action will need to be able to send the MSOS staff an email to update the information for the Association.

F. Administrative Management

114. The 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.
115. The 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.
116. The solution must allow multiple roles to be assigned to users where needed.
117. The solution must allow system administrators to edit or create workflows for system processes.
118. The solution must provide system logs for user activity.

G. Workflow

119. The solution must accommodate configurable workflows and business rules that are common to best-practice case management solutions, regardless of whether they are specified by this RFP.
120. The solution business rules and workflows must allow multiple related notifications and to-dos.
121. The solution must allow authorized users to redirect workflows in response to circumstances that require temporary or permanent changes.
122. The solution must automatically calculate service deadlines; this feature must be configurable.
123. Workflow routing must accommodate, track, and report on due dates as defined by MSOS.
124. The solution must display workflows in simple graphic formats easily understood by system users.
125. Workflow graphics must indicate the status of a work item in the workflow.
126. The solution must allow workflows to be saved as templates to be reused for other types of actions.

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127. The solution must provide the ability to create and modify workflows using built-in administrative tools.
128. MSOS will consider it advantageous if the solution allows workflow configuring with drag-and-drop tools through a graphical user interface.
129. The solution must offer pre-configured workflows for processes common to MSOS Campaigning Finance & Lobbyist filing activities.

H. Document Manager

130. The solution must offer all document management features and functionality common to best-case management practices, whether or not they are specified by this RFP.
131. The 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 solution must provide bulk scanning of paper documents to include the ability to systematically or manually associate documents to the correct record.
133. The DMS must provide a robust, organized, user-friendly document storage and retrieval structure.
134. The DMS 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 solution must accommodate printing and exporting of maintained and managed documents, including but not limited to multiple documents in a single batch job.
136. The solution must allow mobile users to upload and attach documents to targeted filing records.
137. DMS must offer common features including but not limited to:
 - a. Customizable filing document types;
 - b. Customizable flags and metadata for document types;
 - c. Viewer for all allowed document file types;
 - d. The ability to search documents by file name and metadata;
 - e. The ability to search documents by content;
 - f. User-initiated and system-initiated Optical Character Recognition (OCR) of PDF documents;
 - g. The ability to notify users when a new document is attached to a case;
 - h. The ability to have documents in a “draft” status, and that drafts can be modified;
 - i. The ability to have documents in a “final” status that cannot be modified;
 - j. A queue for documents awaiting approval;

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- k. The ability to attach, copy, and print multiple documents with a single action, including by drag-and-drop; and
- l. The ability to automatically notify support staff that a document has been drafted and is ready to be finalized.

I. Search Functions

- 138. The solution must provide global public search features and functionality common to best practices which will provide comprehensive search results based on search criteria.
- 139. The solution must allow users to search by any indexable attribute required by MSOS.
- 140. The solution must be able to search on all data elements and have full keyword search capability.
- 141. The solution must be able to produce search results that represent the search term and subtle variations of the search term.
- 142. The solution must offer pre-defined searches that would be common to filing activities.
- 143. Searches must be exportable or downloadable to common file formats such as .xlsx, .pdf, .xml, and .csv.
- 144. Users must be able to search for items opened or closed during specific time frames and date ranges.
- 145. The solution must provide global search functionality. At a minimum, this function should allow a user to search for any data or combination of data in the system. The results should be presented in a prioritized structure determined by the relevance to the search criteria. All connected or relatable data based on the search criteria should be presented within the prioritized results.

J. Reports and Dashboards

- 146. The solution must offer pre-designed, standard reports that are common to best-case management practices, including those that are not specified by this RFP.
- 147. The solution must accommodate the creation and modification of standard reporting templates as defined by MSOS.
- 148. The solution must be capable of generating a late filers report based on adjustable cycle filing deadline dates.
- 149. The solution must accommodate user-defined reporting so that custom reports can be created from any combination of data elements for which MSOS requires tracking or reporting.
- 150. User-defined reporting tools must be intuitive and easy for the user to comprehend.
- 151. The solution must allow MSOS Staff to create and save customized reports and queries.
- 152. The solution must provide ad hoc reports of all users with system access, including the level of access and the date/time of last access.

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153. The solution must be capable of exporting reports into file formats, including PDF, MS Excel, and MS Word.
154. The solution must provide dashboards that can be configured according to individual users' roles and preferences.
155. The solution must provide configurable dashboards on throughput performance measures and system activities such as active users, recent filings, filing count by date, late filings, etc.
156. The solution must provide configurable dashboards for users to manage open tasks.
157. The solution must provide configurable executive dashboards or integrate with an existing Data Analytics solution. The State will consider it a plus for solutions integrating with Microsoft Power BI.

K. Alerts and Notifications

158. The solution must provide all alert and notification capabilities common to best practices for registration and filing solutions, including but not limited to:
 - a. Directing scheduled alerts and notifications to a specific person(s) with a due date and a task description;
 - b. Directing alerts and notifications to multiple recipients;
 - c. The ability to update and modify alerts and notifications (e.g., assign a new due date, add recipient, etc.);
 - d. Setting priorities for alerts and notifications;
 - e. Viewing and managing notifications from the dashboard; and
 - f. The ability for authorized users to configure alert and notification displays, including the ability to set an expiration date.

L. Calendar and Date Functions

159. The solution must offer full-featured calendar functions common to best- practices for registration and filing solutions, including those not specified by this RFP.
160. The solution must allow MSOS administrative users to set deadlines and reminders for filing events and activities.
161. The solution must have calendar functions that help users manage filing deadlines and provide automatic or user-defined reminders for key dates.
162. The solution should export calendar events to MS Outlook 365 or desktop applications.

M. Payment Functionality

163. The solution must integrate with the State’s payment portal for online fees where applicable.
164. Fee types are as follows:
 - a. Lobbyist registration fee; and

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b. Lobbyist late filing fee.

165. The solution must track payments and keep an account of credits and debits for registration and late fees.
166. The solution must be able to void transactions and refund payments.

N. Payment Processing Requirements

167. 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](#).
168. 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.
169. 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.
170. The following payment methods accepted through Tyler include: Visa, Master Card, American Express, Discover, electronic check, and subscription (monthly billed).
171. 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 of 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.
172. 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.
173. 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.
174. Vendors not using the State's approved payment solution must comply with all regulations regarding handling of state funds as required by official Mississippi Code of 1972, Annotated.

III. SYSTEM DESIGN

A. Data Management

175. The solution must allow for manual data entry by role-based user accounts.
176. The solution must support manual and automated data import to and export from common text file formats, including .txt, .csv, etc.
177. The solution must be NIST-compliant (National Institute of Standards and Technology) relating to security standards to ensure the data is protected and secure in a resting state.

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- 178. The solution must provide mitigation for incorrect or duplicative data.
- 179. The Vendor agrees to develop, document, and implement comprehensive procedures for data management and data documentation (Data Management Plan). The Data Management Plan is more fully described in Section IV, Implementation Requirements, H. Data Quality and Management Plan.

B. Standards

- 180. The solution must comply with the most recent standards that apply to Campaign Finance and Lobbyist registrations and filing technologies sought by this RFP, including those that are not defined by this RFP.
- 181. The solution must include the ability to spell-check within text fields.
- 182. The solution must allow for the entry and display of mailing addresses using:
 - a. Text fields that are long enough to meet U.S. Postal Service, foreign, and military mail regulations;
 - b. Postal codes; and
 - c. Country.
- 183. The solution must facilitate data entry once and populate the data within the various system modules where needed.
- 184. The solution must allow administrative changes to a record without updating the system transaction date and showing that the change was an administrative correction.

C. Interfaces

- 185. In implementing the solution, the Vendor must agree to provide, implement, test and make operational each of the key interfaces and exchanges in the solution. Interfaces known at this are as follows:
 - a. State Payment Portal;
 - b. MSOS website;
 - c. MS.gov website; and
 - d. MSOS Closeout Financial System.

D. Backup and Recovery

- 186. The solution must be able 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 duplication checks and other scheduled database tasks;
 - d. Exports of various American Standard Code for Information Interchange (ASCII) text files to file transfer protocol (FTP) sites for external distribution; and

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- e. Generating, formatting, and printing standard and customer reports with secured storage until retrieval.
- 187. The Vendor must agree that the proposed solution must be backed up (data and system configurations) daily for continuity of operation considerations. Copies of the data backups must be stored off-site from the central operation site (primary and disaster sites) to increase the likelihood of their availability in a natural or man-made disaster.
- 188. 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 system's functionality. Such backups include but are not limited to administrative files, archive files, transaction files, master identity indexes, and transaction results.
- 189. The Vendor must agree that the solution will permit system administrators to selectively support recovering all files from the backups to the appropriate location(s).
- 190. The Vendor must agree that the solution will maintain synchrony between the primary active site and the failover site to ensure that each 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

- 191. For the initial term and any extended terms of service, the Vendor must agree that, except as the result of a catastrophic event, the solution will provide at least ninety-nine point ninety-nine percent (99.99%) availability of all Campaign Finance and Lobbyist services to be measured monthly.
- 192. The Vendor agrees to exclude as unavailable time:
 - a. Any scheduled outages for preventative maintenance; and
 - b. Planned upgrades where the users cannot access or use system functionality.
- 193. For this requirement, a “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

- 194. Many of the requirements of RFP No. 4586 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).
 - a. COOP services include but are not limited to providing 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 the Vendor will agree on the timing of disaster training drills.

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- 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.
195. The Vendor agrees that COOP services will be considered a part of the system’s maintenance and will be covered by the system maintenance fees.
196. 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 resumption of full service to users.
197. 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 one hundred percent (100%) of the services both with and without warning/scheduling; and
 - c. Be continuously operational in a cloud environment during normal operations.
198. 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.
199. 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 throughout the duration of the emergency and providing for continuous operational status in an active environment; and
 - d. Establish reliable processes and procedures to acquire resources necessary to continue essential functions.

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200. Declaration of Disaster

- a. A disaster declaration, called by the State or 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 restoring system operations.
- c. The Vendor is expected to invoke the appropriate disaster recovery plan within four (4) hours from 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. The Vendor shall have one hundred percent (100%) capacity of the operation system regardless of whether the State or the Vendor declares the disaster.
- f. The Vendor’s failure to declare a disaster within four (4) hours shall result in any system downtime being deemed unscheduled downtime because of the incident.
- g. In the event of a disaster declaration, the Vendor must maintain regular and consistent communications with MSOS, keeping all relevant managers and responders informed and updated on efforts to restore normal operations.

IV. IMPLEMENTATION REQUIREMENTS

A. Vendor Acknowledgement

201. This section outlines the MSOS minimum expectations of the awarded Vendor for implementing the selected solution. Implementation deliverables will reveal the Vendor’s expertise in project management, Campaign Finance and Lobbyist 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 implementation.
202. Vendor specifications require the Vendor to present detailed plans, strategies, and methodologies to prove Vendor capabilities. Post-award requirements require implementing 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.
203. Upon award, MSOS intends for the requirements outlined in this section and the responding Vendor’s proposal, including any subsequent, agreed-upon provisions and revisions, to act as the Implementation Statement of Work.
204. The Vendor must acknowledge that they have read and understood the intent of Section IV, Implementation Requirements.

B. General Scope

205. 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 system;

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- b. Enhance the functional, technical, and administrative capabilities of the existing system to meet all requirements;
- c. Migrate the existing formatted database content from the existing solution to the selected solution;
- d. Conduct extensive testing of the proposed solution to identify and correct deficiencies in base capabilities, customizations, integrations, interfaces, migrations, and MSOS processes. Such efforts must include but are not 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

206. 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 solution.
- The Vendor must define roles, responsibilities, authority structures, and reporting requirements for each organizational element.
207. The Vendor agrees to appoint a Project Manager to oversee the execution of all facets of implementing the 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 the 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 implementing the proposed solution and the resulting contract with the State.
 - d. The Project Manager or their designee will be available to the State on a “24-hour a day, 365 days a year” basis, as needed.
208. 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. The Vendor agrees to log all transactions and system activity necessary to evaluate performance and facilitate trend analysis.
 - b. The Vendor agrees to conduct appropriate quality assurance and audits to ensure that logs are complete and accurate.

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209. 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. 4586.
210. The Vendor agrees to participate in a program kickoff meeting at a State facility thirty (30) days before the date scheduled for declaring the State’s Initial Operating Capability (IOC). The meeting aims to introduce key State and Vendor operations support personnel, discuss plans, examine risks, and address any other issues important to successful operations.
211. The Vendor agrees to conduct periodic quarterly or semi-annual Operational Management Reviews to address concerns such as:
 - a. Performance against Service Level Agreements (SLAs);
 - b. Financial and schedule status;
 - c. Planned activities;
 - d. Action items and status of each;
 - 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.
212. The Vendor understands that the State expects operational management review meetings to be held at MSOS or State sites. The Vendor agrees to assume vendor-related travel expenses for meetings not held at State sites.
213. The Vendor agrees to participate in required operational management review meetings as requested by the State or as required by operational conditions.
214. For operational management review meetings, the Vendor agrees to provide agendas, presentation materials, minutes, technical reports, and system performance reports.

D. Project Management

215. Project Management Plan (PMP): The MSOS desires to implement the proposed solution rapidly 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.

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- 216. MSOS prefers the Vendor to use Microsoft Project as the tool for preparing and maintaining the PMP.
- 217. 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.
- 218. The Vendor’s PMP must describe the organizational structure of the implementation team, team member roles and responsibilities, resources, processes, and all other information necessary for MSOS to assess the Vendor’s ability to manage the implementation.
- 219. 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.

<u>Job Function</u>	<u>Available Staff</u>
Chief Information Officer	1
Project Manager	1
Business Analyst – Knowledge Expert	4
Senior Programmer Analyst – Technical	1
Senior Business System Analyst – Technical	1
Total Available	8

- 220. The 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 No. 4586 Compliance Documents

- 221. 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.
- 222. If the Vendor proposes changes to compliance documents during the scope of this implementation, the Vendor agrees to:
 - a. Identify existing material that needs to be replaced or updated;
 - b. Identify the proposed new material and associated data items;
 - c. Provide a rationale for using the new items, including cost, schedule, performance, and supportability impact; and
 - d. Obtain State approval.

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F. System Design and Development

223. 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.
224. When the SDD document has been approved by the State, the Vendor may proceed with implementation.
225. The Vendor must provide a sandbox environment for MSOS project staff and subject matter experts (SMEs) to utilize during implementation to ensure the continuity of the design and that functionality is being executed during configuration and development.

G. System Migration Plan

226. 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. The 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. The Vendor 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 determined by the Vendor and MSOS.

H. Data Quality and Management Plan

227. The Vendor must agree to develop and document a Data Quality and Management Plan for managing data, including legacy and ongoing production data.
228. The Data Quality and Management Plan must detail how data will be handled during and after the project’s implementation phase.
229. The Data Quality and Management Plan must include multiple domains that can be managed through data governance, such as:

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- a. Data architecture;
 - b. Development and deployment;
 - c. Testing;
 - d. Operations;
 - e. Vendor management;
 - f. Security and access;
 - g. Document and content management;
 - h. Legacy data; and
 - i. Data quality and management.
230. 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.
231. 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**
232. The Vendor must migrate legacy data from the current system to the awarded solution.
233. So that MSOS can assess the Vendor’s ability to migrate MSOS legacy data to the proposed solution, the Vendor must include a preliminary Data Conversion and Migration Plan in the response. The Vendor must be specific about their methodology, highlighting any known risk factors and present risk mitigation plans.
234. The Data Conversion and Migration Plan must address plans to ensure that converted and migrated data is accurate and complete.
235. The Vendor agrees to work with MSOS to define and execute data cleanup efforts before conversion.
236. The current database consists of 511 tables. 199 tables are active and contain 37,832,518 records. 312 tables are blank and are unused. More details are outlined in Attachment D - Database Table Counts (Excel File).
237. The Vendor must detail data migration testing plans to validate the successful migration from the legacy system to the proposed solution.
238. The Vendor must work with the MSOS project implementation team to update and modify the preliminary data migration plan as appropriate.
239. The Vendor must agree that final data migration and data migration testing plans are subject to approval by the MSOS.

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- 240. The Vendor must propose a set of system acceptance validations and tests that will demonstrate that the Vendor has complied with the Data Conversion and Migration Plan. This set of system acceptance validations and tests and the Data Conversion and Migration Plan must be approved by MSOS before any data migration occurs.
- 241. The Vendor must perform Load Testing following the data conversion, given the volume of active data being migrated.
- 242. During and following conversion completion, the Vendor and 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)

- 243. The Vendor must make the SIT process transparent during the project and provide outcomes for MSOS.
- 244. The Vendor must include the MSOS in the SIT process.
- 245. The Vendor must include the SIT schedule and process in the Project Plan.

K. User Acceptance Testing (UAT)

- 246. The Vendor agrees to use migrated data for UAT and not use test data.
- 247. The Vendor agrees to conduct UAT to prove that the solution fully meets the requirements of RFP No. 4586.
 - a. The Vendor agrees that UAT procedures will include scripts and normal operations to test end-to-end workflows, including all MSOS interfaces.
 - b. The Vendor agrees that UAT will include all reasonably expected events, such as full backup, restore, and switchover to the COOP site.
 - c. The Vendor agrees that UAT will provide a full suite of reports generated during the UAT period to validate the reporting functions.
- 248. 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.
- 249. The Vendor must submit a preliminary, comprehensive UAT plan to demonstrate the Vendor’s ability to conduct user acceptance testing.
- 250. The 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.
- 251. Upon award, the Vendor agrees to finalize the preliminary UAT plan with input from the MSOS project team. The Vendor also agrees that:

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- a. The Final UAT plan requires approval from MSOS;
 - b. MSOS expects to witness the execution of the UAT;
 - c. 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 the UAT.
252. 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 delivered system(s). The Vendor must agree to take corrective measures at no additional cost to MSOS when such discrepancies result in the Vendor-delivered system(s) failure.

L. User Training and Documentation

253. The solution must provide thorough online tutorials and training for users.
254. The Vendor must provide training documentation and keep it updated as appropriate. A web-accessible format is acceptable to MSOS.
255. Before going live, the Vendor must agree to adequately train MSOS staff users and administrators to use the system successfully to perform their respective tasks and workflows.
256. The Vendor must agree to train MSOS staff users and administrators to effectively use the document management system.
257. 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.
258. The solution must provide context-sensitive help for users throughout the case management process from origination to archival.

M. Product Updates

259. The Vendor must describe their release management methodology and processes for updating the 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.
260. The Vendor must describe how new functions and features are released and how much control clients have over which new features are implemented.
261. 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. 4586.

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N. Change Management and Control

262. 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 all other agreed-upon project deliverables.
263. The Project Manager must develop a Change Management Plan (CMP) for MSOS that will be executed during implementation and followed throughout the project's lifecycle. 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.
264. 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).

V. SOFTWARE ADMINISTRATION AND SECURITY

A. General

265. The system design must comply with the State of Mississippi Enterprise Cloud and Offsite Hosting Security Policy for hosted services. The State of Mississippi Enterprise Cloud and Offsite Hosting Security Policy is viewable on the ITS website at www.its.ms.gov.

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- 266. The solution must provide all software and system administration security features common to best practice management solutions, whether specified by this RFP.
- 267. The solution must provide controlled access to features and functions by configurable, role-based permissions defined by MSOS.
- 268. The solution must allow the system administrator to set rights for access to data by individuals or groups.
- 269. The solution must prevent unauthorized access to the system.
- 270. The solution must accommodate administrator user rights to all workflows and tasks as determined by MSOS.
- 271. Authorized MSOS staff must be able to restrict specific user groups from being able to view or print certain types of documentation.
- 272. Roles, security, and access rights must be easily configurable without Vendor assistance.
- 273. The solution must adhere to all current, relevant security and privacy standards.
- 274. The solution must offer up-to-date, best-practice identity management tools to govern user access, such as forced password changes, historical password checks, the setting of temporary passwords, etc.
- 275. The Vendor shall describe how their proposed solution adheres to established security and privacy standards such as the Health Insurance Portability and Accountability Act (HIPAA), Federal Information Security Management Act (FISMA), Privacy Act, Federal Tax Information (FTI), and other Federal and State laws, regulations, and policies where applicable.
- 276. 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.
- 277. At the State's request, the Vendor shall invoke a process for masking, sanitizing, scrambling, or de-sensitizing sensitive data (e.g., Protected Health Information [PHI] or Personally Identifiable Information [PII]) when extracting data from the production environment for use in another environment for testing purposes.

B. Security Audit

- 278. The Vendor shall complete Risk Assessments and Security Audit reports annually when additions or changes to functionality affect the security framework and architecture or when a new vulnerability is identified.
- 279. The Vendor shall cooperate and assist the State in responding to all Federal, State, and law enforcement questions, and 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.
- 280. The Vendor shall make themselves available for third-party auditors that ensure compliance with State and Federal security and privacy rules. The Vendor shall

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provide a mitigation plan for all reported deficiencies. Major and critical deficiencies shall be corrected within established and agreed-upon timelines.

VI. FINAL ACCEPTANCE REVIEW

281. The Vendor agrees that after completing all implementation phases, MSOS will conduct a Final Acceptance Review (FAR) to determine whether the Vendor has satisfied the terms and conditions of the awarded contract, which includes the requirements of RFP No. 4586 and Attachment A.

VII. SUPPORT AND MAINTENANCE

A. Customer Support

282. The Vendor must provide continuous, around-the-clock (24/7/365), staffed 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.

283. 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.

284. 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.

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

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

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

B. Issue Tracking

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

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

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

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

292. Detail your escalation procedures for resolving trouble tickets, software performance, and user support issues.

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

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- 294. Details of MSOS environments within the provider's custody 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.
- 295. 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 month’s end, all issues opened and closed within the past month, and other details as MSOS requires.
- 296. For issue tracking, the solution must be capable of on-demand as well as auto-run reporting.

C. Service Level Agreements

- 297. 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 contact points.
- 298. The Vendor must provide root-cause analysis notifications within two (2) business days of the incident. The Vendor must also have proven technology, processes, and procedures for escalating problems to MSOS points of contact via a call tree-based solution, depending on the severity and type of issue.
- 299. Once a root-cause analysis is complete, the Vendor must provide a work effort estimate and be willing to expedite issues that rate “Major” or “Severe,” depending on the root cause.
- 300. The Vendor shall follow the problem severity guidelines specified in Table 1 to assign severity levels for incident creation.

Table 1 – Deficiency Priority Levels

Priority Level	Description of Deficiency	Response Timeframe	Resolution Time
1 Critical	As determined by the state, the system is down (unscheduled downtime), practically down (e.g., extremely slow response time), or does not function at all. There is no way to circumvent the problem; many State users are affected. A production business system is inoperable.	One (1) Hour from Intake	Eight (8) Consecutive hours from intake
2 Severe	A component of the solution is not performing in accordance with 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 (4) Hours from Intake	Twenty-four (24) Hours from Intake
3	A component of the solution is not performing according to the specifications;	Twenty-four (24) Hours from Intake	Fourteen (14) days from intake

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Moderate	unexpected results and moderate or minor operational impact, as determined by the State, are present.		
4 Low	As determined by the State, this is a low-impact problem that is not significant to operations or related to education. Some examples are general how-to or informational solution software questions, understanding of reports, and general how-to create reports or documentation requests.	Forty-eight (48) Hours from Intake	The Vendor will resolve educational issues as soon as practicable. Low-impact software or operational issues will be resolved by the next version release or six (6) months unless otherwise agreed to by the State and Vendor.

D. Remedies for Failure to Meet Service Levels

301. The Vendor agrees that service credits will accrue for unscheduled downtime, including the Vendor’s failure to meet system availability or response time requirements for curing deficiencies.
302. To assess service credits, response timeframes will be measured from when the Vendor is properly notified until the State determines that the deficiency has been resolved.
303. To assess service credits, the Vendor agrees that credits will be measured in monthly cumulative minutes for unresolved deficiencies and unscheduled downtime.
304. 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 in accordance with *Table 2, Service Credit Assessments*.
305. Without limiting any other rights and remedies available to the State, the Vendor agrees to issue service credits in accordance with the measures prescribed by *Table 2, Service Credit Assessments*.
306. The Vendor agrees that service credits will be calculated separately for each applicable deficiency and assessed at the end of each month of system maintenance.
307. The Vendor agrees that after thirty (30) days of continued deficient response time, according to the SLA, the State will consider the conditions equal to unscheduled downtime, and the service credits in Table 2, Service Credit Assessments, will go into full force and effect.
308. The Vendor agrees that service credits are not penalties and, when assessed, will be deducted from the State’s payment due to the Vendor.

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Table 2 – Service Credit Assessments

Length of Continuous Unscheduled Downtime	Service Credits
One (1) to Four (4) Hours	One day of Service Credits equal to 1/30th of the Monthly Fees
Four (4) to Forty-Eight (48) Hours	Two days of Service Credits equal to 1/15th of the Monthly Fees
Forty-Eight (48) to Ninety-Six (96) Hours	Five (5) days of Service Credits equal to 1/6th of the Monthly Fees
Each additional block of ninety-six (96) hours thereafter	Additional Five (5) days of Service Credits equal to 1/6th of the Monthly Fees

E. System Monitoring

309. The 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—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 triggered by monitoring technologies into their support processes.

F. Backup Services

310. The Vendor must be able to configure, schedule, and manage all data backups, including but not limited to files, folders, images, system state, databases, and enterprise applications.
311. The Vendor must maintain backup system security and application updates.
312. The Vendor must provide cloud backup options.
313. The Vendor must encrypt all backup files and data and manage encryption keys. At a minimum, the backup options must encompass a strategy of daily incremental and

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weekly full backups. All cloud instances must include options for snapshots and backups of snapshots.

314. The encrypted backup should be moved to another geographical cloud region. Regardless of the backup method, 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.
315. Solution must be capable of running backup reports on a weekly basis, or whatever sequence is required by MSOS. For example, the report should reveal which jobs were successfully completed, failed, and restarted, etc.
316. The solution must be capable of on-demand and auto-run reporting for backup reporting.
317. The Vendor must be willing to provide backups on demand related to development, database changes, or emergency situations.
318. The Vendor must provide unlimited data retention to prevent spoilage of documents and records.

G. Patching

319. The Vendor must provide patching capabilities for all MSOS systems in the cloud. Patching must cover all Microsoft and non-Microsoft vulnerabilities.
320. 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.
321. The Vendor must provide MSOS with a list of patches to be applied before each patching event.
322. Occasionally, 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

323. The Vendor shall have mutually agreed-upon processes and policies 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.
 - c. Such processes and policies must be reviewed by the Provider and MSOS at least annually.

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I. Software Updates

- 324. 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.
- 325. The Vendor agrees that maintenance services will also include maintaining the compatibility of the solution software with all applicable contractor-provided interfaces.
- 326. The 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.
- 327. The Vendor agrees that before installation of any third-party software or any update to it, the Vendor must ensure compatibility, promptly upon release, with the then-current version of the software.
 - a. The 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.
 - b. The 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

- 328. 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 Service Hours

- 329. The Vendor must provide two thousand five hundred (2,500) block service hours for system functionality and design enhancements. 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 cost for development, system configuration, testing, UAT, deployment, etc. (Dev to Prod Cycle).
- 330. 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 thirty (30) days to review and approve the submitted SOW.
 - b. The Vendor can begin the enhancement work after MSOS approves the SOW.
 - c. After a thirty (30) day error-free system deployment, the Vendor can invoice MSOS for the completed work.

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L. Change Order Rates

331. After implementing and accepting 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 response to *Section VIII. Cost Information Submission* of RFP No. 4586.

VIII. DELIVERABLES

A. General

332. The Vendor must agree to provide the deliverables described in Table 3 below. So that the State can evaluate the Vendor’s 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

Deliverable/Plan Title
1. Project Work Plan and Schedule (Section I, Item H)
2. RACI (Section I, Item H, #50)
3. Continuity of Operations Plan (COOP) (Section III, Item F)
4. Implementation Requirements (Section IV)
a. Project Management Plan (PMP) (Section IV, Item D)
b. System Design and Development (SDD) (Section IV, Item F)
c. System Migration Plan (Section IV, Item G)
d. Data Quality and Management Plan (Section IV, Item H)
e. Data Conversion and Migration Plan (Section IV, Item I)
f. User Acceptance Testing Plan (Section IV, Item K)
g. User Training and Documentation (Section IV, Item L)
h. Change Management and Control Plan (CMP) (Section IV, Item N)
5. System manuals and project documentation – complete and all-inclusive
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

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6. Corp-specific Interfaces to include B2B Annual Reports, MS Department of Revenue
<i>Deliverables by Module – Uniform Commercial Code (UCC)</i>
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
<i>Deliverables by Module - Charities</i>
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
<i>Deliverables by Module – PreNeed and Perpetual Care Cemeteries</i>
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
<i>Deliverables by Module – Securities</i>
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

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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