Office of the Iowa Secretary of State

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Request for Information

for

A Voter Registration System & Database

SOS RFI#20200302

Issue Date: March 2, 2020

Contents

1. Introduction

Office of the Iowa Secretary of State (IA SOS) issues this Request for Information (RFI) to solicit information from qualified vendors for a Voter Registration System Software and Services as described in this document.

In addition to this RFI, the IA SOS project includes:

- Analysis of current voter registration system and inefficiencies that affect our ability to conduct the business of the statewide voter registration system.
- Conducting a vendor market scan and analysis to determine the best solution.
- Development of business and technical requirements.
- Develop and release of a Request for Proposal (RFP) for Iowa's future state voter registration system.

The objective of this RFI is to identify vendor solutions and capabilities that could be provided to stakeholders, county auditors, and citizens. Iowa invites interested parties to submit responses to this RFI regarding their products and related service offerings. All information shall be submitted in the format stipulated in this RFI.

This RFI is issued solely for the State's benefit and intended to obtain general information for planning purposes – it does not constitute a Request for Proposal (RFP), bid opportunity, nor an intent or promise to issue either at a future date. Issuance of the RFI in no way constitutes a commitment to the project, to any supplier, or to obligate the State in any manner. This RFI is intended to provide vendors with information necessary for the preparation of informative responses. The RFI process does not constitute a means to pre-select specific vendor solutions. Further, the State will not accept unsolicited proposals.

2. Instructions to Vendors

Vendors interested in responding to this RFI may submit questions or requests for clarification. All questions or requests must be submitted by e-mail to Leah.stott@sos.iowa.gov and received NO LATER than 12:00 P.M. Central Time, Wednesday, March 11, 2020. The subject line should state: **Questions for SOS RFI #20200302**

Responses to vendor questions will be provided for all participants and will be posted as part of the RFI on the State of Iowa Bid Opportunities web site (http://bidopportunities.iowa.gov/?pgname=viewall). The anticipated date for State to provide answers to vendor questions is Wednesday, March 18, 2020. (Any amendments or changes to the RFI will also be posted on the State of Iowa Bid Opportunities web site.)

Responses to this RFI must be provided NO LATER THAN 3:00 PM Central Time, on **Thursday, April 2, 2020**. Vendors are ENCOURAGED TO EMAIL their written responses to **Leah.stott@sos.iowa.gov** .   The subject line should state: **Response to SOS RFI #20200302**

If unable to provide an email response, vendors may send or deliver their response to the location denoted below. Such a response MUST be received at this location no later than the above stated date and time:

Attn: Leah Stott, Iowa Secretary of State Office
Lucas State Office Building – Level 1
312 E. 12th Street
Des Moines, Iowa 50319-0105

2.1 Copyrights

A vendor submitting a response to the RFI agrees the state may copy the response contents for the purpose of facilitating review or responding to public record requests. The vendor consents to such copying by submitting a response and warrants that such copying will not violate the rights of any third party. The State will have the right to use ideas or adaptations of ideas which are presented in the response.

2.2 Gratuities

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

2.3 Costs to Vendors

The costs of preparation and delivery of the response are solely the responsibility of the vendor.

2.4 Response Property of the State

All responses become the property of the State of Iowa and shall not be returned to the vendor. At the conclusion of the project, the content of the responses will be placed in the public domain and available to inspection by interested parties. ***Do not include confidential or proprietary information as part of your RFI submittal.***

2.5 Source of Information Used in Addition to Responses

The State reserves the right to contact vendors as needed throughout the RFI process, including after the final response deadline, for clarification of RFI content.

2.6 State's Obligations

The issuance of this RFI does not obligate the State in any way to the project, or to accept and implement any solution offered in any vendor response.

During the evaluation, IA SOS may request that you submit supplemental information. Any supplemental information you provide must be in writing and may become part of this evaluation.

2.7 RFI Schedule

Date/Time	Event
March 2, 2020	Issue RFI
March 11, 2020, 12:00 P.M. Central	Vendor Questions Due
March 18, 2020	State Response to Vendor Questions
April 2, 2020, 3:00 PM Central	Vendor RFI Responses Due

Respondents to this RFI may deliver their response in PDF format by emailing the point of contact in this RFI. Responses must be limited to no more than 30 pages.

The RFI response should be organized as described in Section 5.

3. Background
3.1 Iowa Secretary of State Description

The IA SOS holds a unique position in the history of Iowa. The IA SOS position for the Iowa territory was created by the United State Congress prior to Iowa's statehood. Over the past one and one half centuries, the office has evolved and is poised for the challenges of the future.

The IA SOS is the state commissioner of elections and assists Iowa's 99 county auditors in the administration of our election laws and administrative rules. Candidates for all statewide offices, federal offices, legislative offices, and certain judicial offices file their nomination petitions with the IA SOS. The IA SOS also preserves many original documents including the Constitution of Iowa and the Acts of the General Assembly.

The IA SOS is a service center for businesses in Iowa, the nation and the world is committed to making sure Iowa remains a gateway for the world by being an advocate for Iowa businesses and products and making government more business friendly.

The IA SOS also holds critical positions on a number of state boards and commission in Iowa, including the Voter Registration Commission, the Board of Examiners, the State Insurance Committee, the Iowa Executive Council, and the State Records Commission. The Secretary co-signs with the Governor all commissions, proclamations, extraditions, and land patents.

3.2 Administration of Voter Registration

The Division of Elections and Voter Registration is charged with oversight and maintenance of the statewide voter registration system, also known as I-VOTERS. Maintaining and updating the files is a daily task, including daily receipt of voter registration applications from the Iowa Department of Transportation (DOT), daily receipt of felon files from county clerks of court, annual cross checks with other states, annual match against death records, annual comparisons against the US Post Office National Change of Address

program, and biennial voter registration no-activity procedures. Each of these procedures requires time, verification, and scrutiny to maintain the integrity of 2.1 million files, with each file including voting history, address changes, name changes, date of birth, and social security numbers. Additionally, the I-VOTERS system encompasses a comprehensive statewide address library, capacity for reports and labels, election management, absentee ballot tracking, precinct poll book management, scanning user management imaging, and district/precinct assignment. This is a complex and interactive system that administers the entirety of elections and voter registration.

3.3 Administration of Elections

The Division of Elections and Voter Registration is responsible to oversee statewide election administration; provide training to county auditors who also train precinct election officials and are the county commissioners of elections; accept state nomination papers; prepare candidate guides; ensure that all polling places are accessible according to the requirements of the Americans for Disabilities Act; ensure that all voting machines meet federal standards and state laws; and administer the federal Help America Vote Act (HAVA) requirements. The division also provides a web-based election night reporting system for the general and primary elections, as well as a web application for voters to locate their polling place and track their absentee ballot, find their county election office, and complete a voter registration application. As a result of HAVA, the state election commissioner is required to submit numerous reports to the federal Election Administration Commission.

3.4 Current Challenges to be Addressed

The IA SOS along with the stakeholders, county auditors, and citizens are currently running into roadblocks for effectively reporting election administration data and statistics in a user-friendly format for transparency purposes at today's fast pace environment.

- Significant manual processes and workarounds required by IA SOS and county staff due to a lack of automation in the current system
- The lack of ability to collect, analyze, and report on performance metrics
- The lack of functionality that provides for ease of reporting/responding to requests
- User interface and navigation makes it difficult to work efficiently
- Scanner and printer capabilities

4. Future State Solution

The IA SOS and partnering counties have not yet defined all the future state use cases, business, and technical requirements. It is the intent of this RFI to gather supporting information about potential future capabilities.

The IA SOS considers the following capabilities as in scope and foundational. However, Respondents are not limited to providing only information relative to these capabilities and should propose recommended additions and/or alternatives where appropriate.

4.1 High Level Requirements

Even though the definition of the future state is still in progress, the following are high level requirements that will need to be considered.

The IA SOS has a need for a solution to address election system needs related but not limited to:

- Precinct Election Officials Management
- Secure File Transfer Solution
- Data Compliance and Maintenance
- Scanning, Imaging, and Indexing Process
- Absentee Voting Management
- External Agencies Interface Processing
- Address Library Management & GIS Interface
- District & Precinct File Management
- Election Management
- Queries & Reports (including historical and current day reporting capabilities)
- System Needs (include but are not limited to managing users, permissions, system configurations, maintaining address and zip code data, general maintenance needs for the ongoing support of an Election Management System)
- Technical Needs (include but are not limited to providing Level II and III support, connectivity troubleshooting for SOS, county and auditor staff and configuration and program issues that relate to the Voter Registration System)
- Voter Registration
- Online Voter Registration
- Confidential Voter Registration
- Electronic Poll Book integrations with various electronic solutions.
- Election Night Reporting – integration components could include ballot layout, results, certification, and web interface
- Signature Verification
- List Request Interface (order and purchase lists online)
- County Notifications
- Simple and Descriptive User Interface
- Candidate Filing
- Voter Information Portal
- Polling Place Management
- Auditor Training Portal

5. Format of Response

The Response must contain the information listed in this section. Respondents should describe how their solution meets or exceeds the desired capabilities of this RFI and should address the topics in the sections below.   Respondents are encouraged to include additional relevant information as appropriate.

The Response must be organized as follows:

➢ **Cover Page** (Title of the RFI, Name and Address of Respondent, Date of RFI, and RFI#)

➢ **Respondent Information**
- Name and principal location and country of origin of your business.
- The type of business entity such as corporation or partnership.
- Any parent, subsidiary and affiliate companies you feel may be relevant to the response.
- Name, address, telephone number and email address of the vendor representative to contact regarding all matters concerning this RFI.
- Years of experience your business has in the field of Voter Registration Systems.

➢ **Product Overview**
- The product capabilities and anticipated benefits specific to Iowa
- The overall architecture and logical complements that form the solution
- The preferred underlying technology stack (operating system, database management system, messaging tools, reporting and analytics tools, etc.)
- The configurability of the solution, to meet current and emerging needs
- The typical implementation approach for environments that are similar to Iowa
- An overall perspective of how the proposed solution would address the high-level requirements described in this document
- Any additional features or planned capabilities that may benefit IA SOS

➢ **Executive Summary** (written for Executive Management and shall briefly address the Respondent's approach to a Statewide Voter Registration System. This section shall be limited to 2-3 pages.)

➢ **Vendor Background and Narrative** (see the 5 following charts)

Prepare and submit narrative responses to address **Technology Features & Functionality**

#	Category	Response
1	Describe the technology used by your solution (programming language, infrastructure, operating systems, and databases)	
2	Describe how your system handles defects & logs. Audit logs may include, but are not limited to, the Voter History Activity and changes to specific data fields	
3	Describe environments you typically create and the process for establishing a new environment. The State typically uses four (4) environments: development, test, training and production. Explain how you support these environments.	
4	Describe your hosting environment.	
5	Explain your performance metrics and scalability.	

Prepare and submit narrative responses to address **Election System Features & Functionality**

#	Category	Response
1	Describe your election solution (workflow, modules, unique features, ease of use, etc.)	
2	Describe how your solution eliminates paper processes and simplifies the workflow	
3	Describe how your solution addresses both day to day and annual data maintenance capabilities: • *Day to Day – voter cancellations, felons, duplicates, etc.* • *Annual – NCOA, ERIC, etc.*	
4	Describe how the solution imports and exports data with other entities	
5	Describe how your solution manages system history and how the system provides **audit** capabilities *(i.e. how does the proposed solution perform both internal tracking of end user activity and transactions, inquiring on the activity audit trail)*	
6	Describe historical and current day **reporting** capabilities *(i.e. EAVS, monthly VR totals, etc.)*	

7	Describe how your solution is designed to handle Address Library Mgmt. and District/Precinct Mgmt. and what GIS capabilities you can provide	
8	Describe how your solution is designed to handle Election Management as it relates to the following: 1. Absentee Ballot Administration 2. Ballot Queries- ballot tracking (issued, voided, replacement) 3. Candidate Administration 4. Election Administration 5. Election Queries – Inputs/Outputs 6. Precinct Election Officials 7. Polling Place Administration 8. Voter Information	
9	Describe how your solution handles system administration and system configuration	
10	Describe your imaging, scanning, and indexing capabilities	
11	Describe how your solution is designed to handle Electronic Poll Books	
12	Describe how your solution is designed to handle election night reporting.	
13	Describe how your solution is designed to handle signature verification and capturing of signatures	
14	Describe if your system supports multiple languages (English, Spanish, etc.)	

Prepare and submit narrative responses to address **Implementation and On-Going Support**

#	Category	Response
1	Provide detailed information about state resources required to implement and maintain the proposed solution. Explain the system functions that can be managed by the State.	
2	Describe your enhancement request process from submission to implementation, (i.e. timing, submission process, etc.)	

#	Category	Response
3	Describe your data conversion methodology and a breakdown of responsibilities between your company and the State.	
4	Describe the levels of help desk support provided by your company and what you expect from your clients.	
5	Describe how your solutions depends upon and/or integrates with third party applications.	
6	Describe your training program for IT administrators, business users and other essential personnel (include details about ongoing training and as new versions are released)	

Prepare and submit narrative responses to address **Security & Disaster Recovery**

#	Category	Response
1	Describe the system or user roles available and any delegation capabilities.	
2	Describe your disaster recovery plans and processes.	
3	Describe how your solution provides the confidentiality, integrity, and availability of data and how it protects the service from misuse.	
4	Describe the extent to which employees/contractors associated with this solution are background checked and any security clearances that are required of them.	
5	Describe how your solution supports these functionalities: • **Encrypting data at rest** • **Multi Factor Authentication** • **Access control lists** What other security measures does your system provide?	
6	Describe the regulatory compliance standards of your solution.	
7	Describe the physical security of the facility that would house our equipment.	
8	Describe past and ongoing security testing, including vulnerability assessments, penetration testing, and static code analysis by federal, state and private entities.	

This section shall describe the Respondent's experience with **Voter Registration Systems & Data Warehouse Experience.**

#	Category	Response
1	Provide a general description of background and experience with regard to voter registration systems and data warehouse implementations in the election domain.	
2	Highlight any relevant relationships with other vendors for technology included in your product or recommended solution. • If there is a financial requirement for investing in third party products or services to the installation or operations of the software, describe in detail. • Specify the nature of the relationship, such as OEM, co-marketed or co-selling. • Highlight relevant participation in industry and technology standards bodies. • State which standards are supported in the version/release described herein.	
3	Describe the current versions of the Voter Registration software, including the next planned releases, major upgrades and sunset considerations. Describe the number of releases provided for the software in the last twelve months.	
4	Describe the support for enterprises that use Voter Registration system as a mission-critical platform, including upgrades and conversions, acceptance testing, professional services, training and issue resolution.	
5	Describe the general R&D approach, current areas and levels of investment. Outline the capabilities planned for your next release or version and the timetable for those capabilities.	

➢ **Proposed High Level Implementation Plan** In this section, please describe a high-level proposed implementation plan, including key milestones and deliverables. Please describe the typical timeframe for an implementation of similar size and scope.

➢ **Pricing**

USE ONLY YOUR PUBLICLY AVAILABLE PRICING WHEN RESPONDING TO THE BELOW ITEMS. WE MUST BE ABLE TO INDEPENDENTLY VERIFY THE PRICING IS "GENERALLY AVAILABLE" AND NOT SPECIFIC TO THE STATE.

- Provide an idea/estimate of a yearly annual maintenance cost that includes:

    - software maintenance, license fees, support/enhancements/upgrades per IA SOS direction, on-going support, training, testing, and server administration.   Detail the billing metrics used to determine the costing, whether per license user, per license, per system module, etc.

- What billing metric is used for consulting services consumed on an as needed basis?

- What billing metric is used for consulting services consumed as part of an implementation or upgrade project?