

## Request for Information

### Investigations Case Management System

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### Summary:

The Division of Corporations, Business and Professional Licensing ("CBPL") of the Alaska Department of Commerce, Community, and Economic Development ("DCCED") is seeking information from qualified vendors who can provide an Investigations Case Management System ("ICMS").

### Background

The Investigations Unit of the Licensing Section manages complaints against corporations, businesses, and professionals that have been licensed in Alaska. Complaints vary from drug usage, sexual misconduct, unlicensed professionals, or other unprofessional or unethical behaviors related to the performance of the individual in their workplace. Professionals range from hairdressers to medical professionals. Currently the CBPL uses GL Suite from GL Solutions of Bend, Oregon. The GL Solutions GL Suite is customized and has been in use by CBPL since 2009. CBPL has 23 users and the current annual per user cost is \$1,936.

DCCED is investigating the possibility of developing an in-house solution. A decision on this is expected by the end of 2020.

### Current Needs

CBPL requires a fully operational ICMS for tracking of complaints and investigations into those complaints by CBPL investigators. A qualifying offeror will be subject to FBI and State of Alaska Criminal Justice Information System policies which includes employee background checks. A ICMS shall have the following:

1. Be FedRAMP complaint
2. Comply with State of Alaska Criminal Justice Information System policies
3. COTS: ideally the ICMS software will be a commercial off-the-self product that provides the following
  - a. Provide tracking of multiple entities (e.g. respondents, complainants, witnesses, attorneys, and assigned investigators), allegations, field values (e.g. sources of the complaint, types of potential violations, license requirements, date received, date opened, date investigator assigned for each investigator), and investigation attributes.
  - b. Separate cases across 43 different professions which include 21 different boards.
  - c. Be able to integrate with the DCCED Document Repository System
  - d. Provide search capability of all materials

- e. Provide tracking of all activities of investigators by allowing them to enter comments, memorialize meetings or phone calls, time spent by CBPL, administrative actions, and closure information.
  - f. Provide tracking of all administrative actions, including the issuance of various types of legal documents. Include the ability to document resolution of an investigation that includes compliance deadlines, or probationary requirements.
  - g. Be able to issue invoices and process payments of civil penalties or other assessments.
  - h. Provide standard report of completed investigations
  - i. Provide users the ability to develop custom reports that provide a list of records related to licensing/registration, examination, or enforcement activities of an investigations unit. Included should be a completed report of an investigation.
  - j. Provide statistical summaries of activities conducted by the unit assigned to an investigation. The statistical summaries must display results in consolidated totals for various actions.
  - k. Provide time and expense tracking: certain activities require CBPL to track staff time and expenses performed during the completion of an investigation.
4. 24 X 7 Emergency Support  
Access to a technical representative, who can be reached 24 hours a day, seven days a week to resolve critical issues.
5. End-User Support  
Provision of end-user support including both web based and telephone support for user-level questions about how to use Software to perform the user's job function.
6. Configuration Troubleshooting  
Provision of guidance, troubleshooting and examples on how to configure screens, fields, rules, reports and correspondence to DCCED IT staff to help with modifying the configuration of the software.
7. Developer-to-Developer Support  
Provision of access and support software developers contracted by DCCED for web site development, third-party application integration, custom GUIs, and other solutions.
8. Hardware, Network and Security Tips  
Provision of technical-level guidance to DCCED staff to assist with hardware and network and security specifications.
9. Architecture and Best Practice Guidance  
Provision of assistance to solve complex software design or architectural problems through access to vendor's analysts. Ideally a vendor will offer comprehensive business analysis and application component support.
10. Account Management  
Provision of a dedicated Account Manager who monitors issues, coordinates regular service release installation, and tracks our business process cycles to help DCCED prepare for renewals and other busy times. An Account Manager shall be available for periodic reviews on the status of open issues and future goals.
11. Web Courses  
Provision of opportunities to attend regularly scheduled, live training sessions on the

configuration of screens, security, rules, correspondence, reports and more via remote desktop demonstrations, online seminars, and conference calls.

12. Agency-Specific Process Training

Provision to CBPL employees training on the use of the software to perform specific CBPL business processes.

13. Software Updates and Documentation

a. New Software Versions –

A qualified offeror shall make available to DCCED an enhanced version of the Software under the same Software license terms of this agreement. An enhanced version of the software contains new or improved functionality not limited to new release to support compatibility with new releases of the operating system in use by DCCED (currently Microsoft Windows).

b. Installation(s) of New Software Version(s)

c. Core Software Documentation

Provision of access to application use, administration and configuration manuals via the vendor web site.

d. Installation of Core Software Patches

Provision of remote installation services for new versions of ICMS.

e. Provision of Existing Core Software Documentation

f. Configuration and Customization Corrections

g. Installation of Configuration and Customization Corrections

A qualified Offer shall have the following minimum qualifications

14. Currently and successfully providing an ICMS to a government entity

15. Three or more years of successfully providing an ICMS to a government entity

16. Prior successful installation of an ICMS including migration from a different ICMS

17. Success in training new users and IT staff.

18. A yearly cost per user of no more than \$2,200 for a Standard user, \$4,200 for a Professional user, and \$7,300 for an Enterprise level user.

Response Information:

Interested parties are invited to submit responses to the following:

1. A general description of your company's capabilities and experience related to providing ICMS solutions for government entities.
2. Detailed descriptions of how your ICMS solution meets or exceeds each of the above listed requirements.
3. A detailed description of how your solution will migrate from our current ICMS to the ICMS.
4. Acknowledgement of the background check requirements.

Total length of a response to this RFI shall not be longer than 10 pages, single sided, with a 10 point minimum font size.

Responses to this RFI are for informational purposes only. This RFI does not extend any rights to prospective vendors or obligate the state to conduct a solicitation or purchase any goods or services.

Deadline to respond to this RFI is 4:00 PM, Friday, July 17, 2020.

The following questions have been received. Answers follow each.

1. Is the DCBPL looking to replace the Licensing System, in addition to the enforcement ICMS? If not, what is system currently deployed and when was it deployed for the 21 Boards and 43 professions?

Answer:

This RFI is only seeking information about investigative case management systems. The current system (GL Suites) was put in place in 2010 and has been serving the Division. Prior to GL Suites it was a program called "Enforcer" which was replaced due to the lack of customization for the particular needs of the Division.

2. Is the ICMS desired to be on-premise or hosted by the vendor?

Answer:

A hosted solution is preferred, but information about on-premise is acceptable.

3. Is there a preference to perpetual license vs. SaaS license model?

Answer:

SaaS, concurrent, licensing is preferred, but information about perpetual license is acceptable

4. You reference 3 types of users (Std, Prof, and Enterprise), how many users are currently in each category today?

Answer:

The three "users" are individual maintenance plans with different levels of service. One plan will be selected to maintain and enhance the system during the fiscal year

5. Does your new solution require a front-end, web portal for complaint filings?

Answer:

We are trying to make it easier for the public to submit a Request for Contact to Investigation. We will probably need a web portal that the public could submit a request for contact online instead of the current form to be completed and submitted.

<end 7/10/2020 16:09>