**STATE OF MAINE**

**Department of Economic and Community Development**



**REQUEST FOR INFORMATION**

**RFI#201901002**

**DATABASE AND GRANTS MANAGEMENT SYSTEM**

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| --- | --- |
| **RFI Coordinator** | *All communication regarding this RFI must be made through the RFI Coordinator identified below*.  **Name:** Joni MacDonald **Title:** System Group Manager  **Contact Information:** [joni.macdonald@maine.gov](mailto:joni.macdonald@maine.gov) |
| **Submitted Questions Due** | *All questions must be submitted to* [joni.macdonald@maine.gov](mailto:joni.macdonald@maine.gov)  **Date:** June 14th, 2019, no later than 5:00 p.m., local time |
| **Response Submission** | **Submission Deadline:** June 28th, 2019, 2019, no later than 5:00 p.m., local time  **Submit to:** [joni.macdonald@maine.gov](mailto:joni.macdonald@maine.gov) |

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# **PUBLIC NOTICE**

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**State of Maine**

**Department of Economic and Community Development**

**RFI#201901002**

**DATABASE AND GRANTS MANAGEMENT SYSTEM**

The State of Maine, Department of Economic and Community Development, is seeking information regarding a replacement of three different current databases and grants management systems.

A copy of the RFI, as well as the Question & Answer Summary and all other related documents to this RFI, can be obtained at the following website: <http://www.maine.gov/dafs/bbm/procurementservices/vendors/rfis>

Responses must be submitted to: [joni.macdonald@maine.gov](mailto:joni.macdonald@maine.gov) and be submitted by 5:00 pm, local time, on

June 28th, 2019.

**\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\***

# **RFI DEFINITIONS/ACRONYMS**

The following terms and acronyms shall have the meaning indicated below as referenced in this Request for Information:

1. **RFI:** Request for Information
2. **RFP:** Request for Proposal
3. **State:** State of Maine
4. **Department or DECD:** Maine Department of Economic and Community Development
5. **OIT:** The State’s Office of Information Technology
6. **FOAA:** Maine Freedom of Access Act
7. **Respondent:** Any individual or organization submitting a response to this RFI.
8. **SSAE - SOC 2 Type 2 Annual Audit:** Statement on Standards for Attestation Engagements (SSAE) is an attestation standard put forth by the Auditing Standards Board (ASB) of the American Institute of Certified Public Accountants. A SOC 2 Type 2 report is an internal controls report capturing how a company safeguards customer data and how well those controls are operating. It is used to assess and address the risks associated with third party technology services.

**Department of Economic and Community Development**

**RFI#201901002**

**DATABASE AND GRANTS MANAGEMENT SYSTEM**

# **PART I INTRODUCTION**

## A. Purpose and Background

This Request for Information (RFI) is an information gathering and market research tool, not a formal solicitation of a specific requirement (such as in a “Request for Proposals” document). The Department is seeking information regarding **a database and grants management system for the oversight and administration of all divisions and programs within DECD** from interested parties as defined in this RFI document. This is an opportunity for interested parties to help the Department better understand a marketplace and/or specific subject matter.

The State of Maine, Department of Economic and Community Development, is seeking information regarding a replacement of three different current databases and grants management systems with one system/database, to service the entire Department, to provide all aspects of grants management, for the Offices of Business Development, including the Tax Incentives Division, Office of Community Development (including CDBG), the ConnectME Authority, and the Office of Tourism. The system should also be able to perform all aspects related to administration of a loan portfolio, and provide entities participating in the programs administered by DECD, the ability to electronically submit applications, reports and other supporting documentation specific to the program(s) they are participating in. The system must also be able to interface with the State of Maine’s Advantage System and Maine Revenue Services in specific scenarios. The application must be highly secure and scalable.

## B. General Provisions

1. All contact with the State regarding this RFI must be made through the aforementioned RFI Coordinator. No other person/State employee is empowered to make binding statements regarding this RFI.
2. This is a non-binding Request for Information. Therefore, no award shall be made as a result of the RFI process.
3. Issuance of this RFI does not commit the Department to pay any expenses incurred by a Respondent in the preparation of their response to this RFI. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
4. Issuance of this RFI in no way constitutes a commitment by the State of Maine to issue a Request for Proposal (RFP).
5. All responses should adhere to the instructions and format requests outlined in this RFI and all written supplements and amendments, such as the Summary of Questions and Answers, issued by the Department.
6. All submissions in response to this RFI will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 et seq.).

<http://www.mainelegislature.org/legis/statutes/1/title1sec401.html>

1. All applicable laws, whether or not herein contained, shall be included by this reference. It shall be Proposer’s/Vendor’s responsibility to determine the applicability and requirements of any such laws and to abide by them.

# **PART II INFORMATION SOUGHT**

1. **Overview**

The Department seeks information regarding a database and grants management system for the Department (including the Office of Business Development, Tax Incentives Division, Office of Community Development, ConnectME Authority and the Office of Tourism) and welcomes responses to this RFI and creative suggestions and feedback to enhance and expedite the process while providing an efficient, reliable and high-quality system.

The Department seeks detailed yet succinct responses that demonstrate the Respondent’s experience and familiarity with the subject matter. **As this is not a competitive RFP process,** **Respondents should not provide any specific cost or customized pricing documentation in their response.**

1. **Specific Request**
2. What is new or works incredibly well on the market today for oversight and administration or similar type application?
3. What can we expect for solutions that are configurable (i.e. low or no coding flexibility to adapt system to changes), modular (i.e. allow phased implementations) and scalable (i.e. accommodate current and future needs)?
4. What could we expect for the following, as a high overview:
5. Cost Structure: licensing (e.g. concurrent, individual, subscription), customization (if applicable), required products, Tiers (such as N-Tier), etc.
6. Support Structure: Response Time (High=2 hours), Standard Operating Hours, After Hour Processing, Interfaces, 24-hour support, etc.
7. Define efficiency of such an application; such as: execution time to load page, to load report, to generate application, etc.
8. Does the standard application have an “ad-hoc” reporting feature or is this considered an extra feature/cost?
9. Does the standard application have a feature allowing the user to create/send data files to interface with other partners? If yes, define the interface process or options we may need to consider. In addition, please discuss the security structure of this process.
10. Security Structure: Explain security structure of the application.
11. Does the standard application offer a fully managed service?
    1. If Yes, briefly detail such an infrastructure.
       1. What is a standard or even unique availability options of services, such as: Five Nines, Four Nines, etc.
       2. What are reasonable recovery times and recovery point objectives?
       3. Are there any limitations to a managed services approach?
    2. If No, please explain any responsibilities that could be required of the State, including infrastructure needs.
12. What are the typical types of expenses for a project like this?
13. Please provide three to five entities that are currently utilizing successful applications. The Department is seeking entities within the State of Maine. Please include contact information (name, email, phone).
14. The Department requires compliance with the following OIT policies and technical requirements. Please describe any potential concerns with these requirements:
    1. Deployment Certification: <http://www.maine.gov/oit/policies/Application-Deployment-Certification.pdf>
    2. Security: <http://www.maine.gov/oit/policies/SecurityPolicy.pdf>
    3. Web Accessibility: <http://www.maine.gov/oit/policies/WebAccessibilityUsabilityPolicy.pdf>
    4. Remote hosting: <http://www.maine.gov/oit/policies/RemoteHostingPolicy.pdf>
    5. Provide a full SSAE-18 SOC 2 Type 2 Annual Audit, which includes testing the Five (5) Trust Services Criteria (Security, Availability, Processing Integrity, Confidentiality and Privacy). A copy of the audit and plan of action for remediation of any deficiencies will be provided to the Department.
15. Also discuss other features that may be available in the system for the Department to consider.

* Please provide a brief description of current products that may meet the needs of this RFI.
* Preferred response is one-page per product although up to three pages will be accepted.

An excel file is attached to address answers to all questions; exception: question #8 can be provided in either the excel spreadsheet or a separate document. Please note: the template aligns with the order of the specific request.

# **PART III KEY RFI EVENTS**

## Questions

**1. General Instructions**

1. It is the responsibility of each interested party to examine the entire RFI and to seek clarification, in writing, if they do not understand any information or instructions.
2. Interested parties should use **Appendix B** – Submitted Questions Form – for submission of questions.
3. The Submitted Questions Form must be submitted by e-mail and received by the RFI Coordinator, identified on the cover page of this RFI, as soon as possible but no later than the date and time specified on the RFI cover page.
4. Submitted Questions must include the RFI Number and Title in the subject line of the e-mail. The Department assumes no liability for assuring accurate/complete/on time e-mail transmission and receipt.

**2. Question & Answer Summary**

Responses to all questions will be compiled in writing and posted on the following website: <http://www.maine.gov/dafs/bbm/procurementservices/vendors/rfis>.

It is the responsibility of all interested parties to go to this website to obtain a copy of the Question & Answer Summary. Only those answers issued in writing on this website will be considered binding.

## Submitting the Response

1. **Responses Due**

Responses must be received no later than the date and time listed in the timeline above.

1. **Delivery Instructions**

Responses must be submitted to [joni.macdonald@maine.gov](mailto:joni.macdonald@maine.gov), via e-mail, listed on the cover page of this RFI document.

# **PART IV SUBMISSION REQUIREMENTS**

This section contains instructions for Respondents to use in preparing their responses. It is requested that all responses follow the outline suggested below, including the numbering, section and sub-section headings as they appear here. The Department seeks detailed yet succinct responses that demonstrate the Respondent’s experience and familiarity with the subject matter. **As this is not a competitive RFP process,** **Respondents should not provide any specific cost or customized pricing documentation in their response.**

## Response Format

* 1. For clarity, majority of responses should be given utilizing the response spreadsheet attached.

Exception: The response to question #8 can be typed or printed. Responses should be single-spaced with 1” margins on white 8 ½” x 11” paper using a font no smaller than 12-point Times New Roman or similar.

**2.** All pages should be numbered consecutively beginning with number 1 on the first page of the narrative (this does not include the cover page or table of contents pages) through to the end, including all forms and attachments. For clarity, the Respondent’s name should appear on every page, including Attachments. Each Attachment should reference the section or subsection number to which it corresponds.

**3.** Respondents are asked to be brief and to respond to each question and instruction listed in the “Submission Requirements” section of this RFI. Number each response to correspond to the relevant question or instruction of the RFI.

**4.** Include any forms provided in the package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in the RFI.

**5.** Please provide all information requested in the RFI package at the time of submission.

## 

## Response Contents

## Section I. Organization

1. Complete **Appendix A** (provided as an Appendix to this RFI)
2. Complete spreadsheet on **Appendix C**
3. Provide Respondent’s location(s)
4. Provide a brief description of Respondent’s main products/services
5. Provide a brief description of years in business
6. Provide a description of the management structure
7. Describe any licensure required for any services described in the “Information Sought” section.
8. Provide clients that are using comparable products or services (including contact information).
9. Describe skills pertinent to the specific work described in the RFI.

## Section II. Response to Information Sought

Discuss the “Information Sought” section referenced above in Part II of this RFI and what the Respondent offers related to the goods and/or services described. Please respond to all questions in this section and give particular attention to describing the methods and resources necessary to accomplish the tasks involved. Respondents are also encouraged to share their knowledge and/or insight of the marketplace and of the specific goods and/or services in general for which information is being sought.

## Section III. Required Attachments

The following documents should be included per submitted response in the order as numbered below:

* 1. Response Cover Page (**Appendix A**)
  2. Excel Spreadsheet (**Appendix C**)

# **PART V REVIEW OF RESPONSES RECEIVED**

# **General Information**

# The Department will review responses received for the purpose of gathering information and market research. The Department will not score or rate responses received.

# The Department reserves the right to communicate and/or schedule interviews/presentations with Respondents, if needed, to obtain clarification of information contained in the responses received.

# **PART VI LIST OF RFI APPENDICES AND RELATED DOCUMENTS**

1. Appendix A – Response Cover Page
2. Appendix B – Submitted Questions Form
3. Appendix C – Response Spreadsheet

**APPENDIX A**

**STATE OF MAINE**

**Department of Economic and Community Development**

## RESPONSE COVER PAGE

**RFI#201901002**

**DATABASE AND GRANTS MANAGEMENT SYSTEM**

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| --- | --- | --- | --- | --- | --- |
| **Lead Point of Contact - Name/Title:** | | |  | | |
| **Organization Name (if applicable):** | | |  | | |
| **Tel:** |  | | **Fax:** |  | |
| **E-Mail:** |  | | **Website (if applicable):** | |  |
| **Street Address:** | |  | | | |
| **City/State/Zip:** | |  | | | |

**APPENDIX B**

**STATE OF MAINE**

**Department of Economic and Community Development**

## SUBMITTED QUESTIONS FORM

**RFI#201901002**

**DATABASE AND GRANTS MANAGEMENT SYSTEM**

|  |  |
| --- | --- |
| **Organization/Responder’s Name:** |  |

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| --- | --- |
| **RFI Section & Page Number** | **Question** |
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*\* If a question is not related to any section of the RFI, state “N/A” under “RFI Section & Page Number”.*

*\*\* Add additional rows, if necessary.*

**APPENDIX C**

**STATE OF MAINE**

**Department of Economic and Community Development**

## RESPONSE SPREADSHEET

**RFI#201901002**

**DATABASE AND GRANTS MANAGEMENT SYSTEM**

Double click the icon to access the spreadsheet.

