



## FLORIDA DEPARTMENT *of* STATE

**RICK SCOTT**  
Governor

**KEN DETZNER**  
Secretary of State

November 27, 2013

The Honorable Don Gaetz  
President of the Florida Senate  
212 Senate Office Building  
404 South Monroe Street  
Tallahassee, Florida 32399-1100

The Honorable Will Weatherford  
Speaker of the Florida House of Representatives  
420 The Capitol  
402 South Monroe Street  
Tallahassee, Florida 32399-1300

Dear Mr. President and Mr. Speaker:

In compliance with s. 16, Ch. 2013-37, Laws of Florida,<sup>1</sup> the Division of Elections submits the following proposal for a mandatory statewide electronic campaign finance reporting system for all state and local campaign filings.

Please find enclosed the following:

- 1. Summary.** The summary includes background on current campaign finance reporting systems, the proposed requirements for a mandatory statewide electronic campaign finance reporting system, and two proposed means (in-house and vendor-developed) to create and implement a mandatory statewide electronic campaign finance reporting system (EFS).
- 2. Detailed Proposal.** This document includes a detailed description and explanation of the functional and administrative requirement of the statewide EFS, to include necessary statutory changes.
- 3. Responses to Request for Information (RFI).** Ten private sector vendors responded to the Division's RFI concerning the development of a statewide electronic campaign finance system. The RFI and the responses to it are in the appendices to the detailed proposal.

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<sup>1</sup> "By December 1, 2013, the Division of Elections shall submit a proposal to the President of the Senate and the Speaker of the House of Representatives for a mandatory statewide electronic filing system for all state and local campaign filings required by s. 106.07, s. 106.0703, or s. 106.29." Ch. 2013-37, § 16, Laws of Fla.



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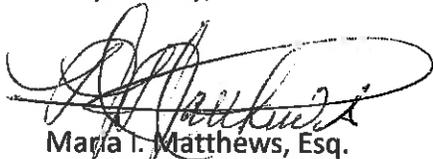
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Based on a limited informal survey, only a few states appear to have a statewide EFS that also includes offices from local jurisdictions. None involve the magnitude and scope of potential filers (e.g., candidates for state, county, multi-county, district, special district, and municipal office, political parties, affiliated party committees, political committees, electioneering communications organizations, and other individuals required to file campaign finance reports) that would exist in Florida.

Given the scope and complexity of the proposal, the Division anticipates that it could take up to three years to develop, design, test, provide training, and implement a statewide EFS.

We appreciate this opportunity to provide this proposal to the Legislature. If you have questions about the proposal, please feel free to contact me.

Respectfully,

A handwritten signature in black ink, appearing to read 'M. Matthews', written over a horizontal line.

Maria I. Matthews, Esq.  
Director, Division of Elections

Enclosures

# FLORIDA DEPARTMENT *of* STATE

## Statewide Electronic Filing System Proposal Summary

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## **1. Background on current campaign finance reporting systems.**

- For filers with the Division of Elections:
  - Section 106.0705, Florida Statutes, mandates the use of the Division's electronic filing system (EFS) and provides the criteria for the EFS. Section 106.0706, Florida Statutes, exempts the user identification and passwords from Florida's public records law. The information entered into the system is also exempt until the report is generated and filed with the Division.
- For filers with county supervisors of elections and municipal clerks:
  - No mandated EFS exists, but s. 106.07(2)(a)2., Florida Statutes, permits the governing body of any political subdivision, by ordinance or resolution, to impose on its own officers and candidates an EFS requirement if those requirements are not in conflict with the EFS criteria in s. 106.0705, Florida Statutes. Only about one-half of Florida's 67 counties have a mandatory electronic campaign finance reporting system and nearly all of Florida's 410 municipalities still use a paper reporting system.

## **2. Proposed requirements for a mandatory statewide electronic campaign finance reporting system.**

The statewide EFS should be patterned after the statutory mandate for the current EFS system for filers who file with the Division of Elections; however, the Division's current EFS does not have the technological capacity or capability to handle the increase in volume of users that would result with the addition of all county and municipal filers. The statewide EFS would need to be more robust to handle the increased number of filers and number of citizens desiring to view campaign finance records. A robust and secure mandatory statewide EFS should include not only the requirements mandated by ss. 106.0705(5) and 106.0706, Florida Statutes, but should also:

- Ensure that county and municipal filing officers retain their role and responsibility as filing officers for the candidates and entities that file currently with them.
- Provide filing officers the ability to automatically audit campaign finance reports for completeness and timely filings.
- Include campaign finance filings required by ss. 106.07, 106.0703, and 106.29, Florida Statutes, and those required by s. 106.141, Florida Statutes (*e.g.*, termination reports and office account reports).
- Provide for the migration of campaign finance data for the prior two years into the EFS.
- Provide a completely paperless registration and reporting capability.
- Mandate the use of email notifications.
- Provide for electronic referrals to the Florida Elections Commission by filing officers.
- Provide for direct data entry into the statewide EFS by the filer and provide an upload capability to upload data into the statewide EFS by third-party vendor software.
- Provide an Internet web-based search capability for the public, media, candidates, political parties, political committees, and electioneering communications organizations regarding reported campaign finance data.

To accomplish the proposed system's requirements, several statutory changes are necessary. The recommendations for statutory changes are contained in the enclosed, detailed proposal.

### **3. Means to accomplish the mandatory statewide electronic campaign finance reporting system.**

The potential approaches to create the statewide EFS are essentially two: (1) an in-house development of the system; or (2) a vendor-developed system.

- The Division estimates the development of an in-house system would require 4748 hours and cost \$534,415.80 (based upon an average application development cost per hour on a state contract of \$105.35) with annual recurring costs of \$145,000 (comprising \$80,000 cloud processing and storage fees, plus \$65,000 for an additional full-time employee). Because the Department of State's information technology (IT) section also continually maintains and upgrades the statewide corporations database, the Florida Voter Registration System, and the Division's own EFS, as well as serving the Division of Historical Resources, Division of Cultural Affairs, and Division of Library and Informational Services, it is unavailable to devote its full and undivided attention to the development of a statewide electronic filing system. The IT section would need a minimum of three years to develop and implement the statewide EFS.
- The Division issued a Request for Information (RFI) from vendors who may be interested in developing a statewide EFS. The Division received 10 responses, which are enclosed as appendices to the proposal. Because the responders did not know what the final specifications for the project would entail, the estimated cost of meeting the requirements of the proposal is unknown; however, based upon development costs, along with licensing and maintenance fees for the system, the cost could be anticipated to be well over one million dollars. (For example, the vendor-created statewide system in North Carolina cost \$1 million, but the same vendor indicated that higher costs occurred in creating systems in other states – the cost is dependent upon the final requirements for the system). Additionally, without knowing the full scope and final requirements of the project, the RFI responders' estimates to create the system ranged from three months to more than 18 months. Given the expansive scope of this project, the Division believes the realistic estimate for a commercial vendor to develop and deliver the proposed statewide EFS would be closer to 18 months. Additional time will be needed for the vendor selection process.

### **4. Other states.**

The Division conducted an informal telephonic survey of other states regarding their campaign finance filing systems. Very few states appeared to have a statewide EFS which also included offices from local jurisdictions. None involved the magnitude and scope of the large number of potential filers (*e.g.*, candidates for state, county, multi-county, district, special district, and municipal office, political parties, affiliated party committees, political committees, electioneering communications organizations, and other individuals required to file campaign finance reports) that would exist with a Florida statewide EFS.

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## Statewide Electronic Filing System Detailed Proposal

November 27, 2013



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**Statewide Electronic Filing System Detailed Proposal**

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## Statewide Electronic Filing System Detailed Proposal

### Background

Section 16, Ch. 2013-37, Laws of Florida, provides:

By December 1, 2013, the Division of Elections shall submit a proposal to the President of the Senate and the Speaker of the House of Representatives for a mandatory statewide electronic filing system for all state and local campaign filings required by s. 106.07, s. 106.0703, or s. 106.29.

The Department of State, Division of Elections (the “Division” or “DOE”), has gathered data from three sources for this proposal. First, the Division of Elections defined the functional requirements for the Statewide Electronic Filing System (SEFS). From the functional requirements, the Department’s information technology (IT) section estimated how many hours would be required to write the application in-house. Using state contract pricing, a total cost amount was derived for the application development. IT also estimated yearly cost for storage and processing. Second, an informal telephonic survey was conducted of systems used by other states. The results of this survey revealed no state had a system possessing the volume of users envisioned by Florida’s SEFS. Third, the Division of Elections submitted a Request for Information, and received responses from ten vendors.

### SEFS Functional Requirements

#### Purpose

The statewide electronic filing system (SEFS) will centralize the statutorily required reporting of all financial transactions that influence elections at the state, county, and municipal level which will enable access by the public to all data at one location. Filing officers will manage all filers under their jurisdiction. To best support the SEFS and to promote a completely paperless system, the system will require online filing of all forms and utilize email as the main method for correspondence. Although not mentioned in s. 16, Ch. 2013-37, Laws of Florida, the SEFS will include campaign finance reports (*e.g.*, termination and office account reports) required under s. 106.141, Florida Statutes.

#### Stakeholders

- **Filing Officers** – election officials
  - Division of Elections
  - Supervisors of Elections
  - Municipal Clerks
  
- **Filer** – any individual or entity that must register to file treasurer reports with an election official
  - Candidates
  - Political Parties
  - Affiliated Party Committees
  - Political Committees
  - Electioneering Communications Organizations

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- Office Account Holders
- Individuals meeting the threshold requirements of s. 106.071 for independent expenditures or electioneering communications
- Individuals seeking a publicly elected position on a political party executive committee who receives a contribution or makes an expenditure
- **Florida Elections Commission** – Nine appointed commissioners acting in a quasi-judicial capacity to investigate and determine violations of Chapters 104 (violations of election code) and 106 (campaign finance) in Florida's Election Code.
- **Florida Commission on Ethics** – Nine-member commission responsible for investigating and issuing public reports on complaints of breaches of the public trust by public officers and employees.
- **Software Vendors**
  - Application systems used by local filing officers
  - Application systems used by filers
- **The Public**
  - Florida citizens
  - News media
  - Organizations

### System Overview

- **Architecture**
  - Failover requirements
  - Batch Processing
  - Production Site
  - Vendor/County Test Site
  - Development Site
  - Backups
- **Data Migration**
  - All active filers: Candidates; committees, organizations, political parties, and affiliated party committees; individuals who filed independent expenditures and electioneering communications reports
  - The last two years of campaign finance reports for individuals and entities migrated
  - For county and municipal data, a standard file format will be required
- **Applications** – there are three stand-alone applications required:
  - Statewide Electronic Filing System (SEFS) for filers
  - Administration of SEFS for filing officers and the Florida Elections Commission
  - Online Access for the public to filer information and reporting detail

### System Constraints/Issues

- **Local Committees**

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Local committees that currently register with more than one county or municipality will have difficulty reporting when overlapping reporting periods exist in the various jurisdictions. A need for a statutory change will exist to clearly define how this situation is to be reported to prevent double reporting. The optimum solution is to mandate committees and ECOs to register with only one filing officer.

- **Election Cycles**

The current system relates all financial activity to an election cycle, with the end result being a complete picture of what influenced the election. At the state level the election cycle is a two-year period, except for special elections which are defined separately. County and municipal elections dates are staggered throughout the year. A local election cycle should be defined for each calendar year so that the public can easily access local election data across jurisdictions.

- **Paperless Features**

Some of the paperless features will require statutory changes.

### Terminology

- **Committee** – as used in this proposal, “committee” refers to political parties, affiliated party committees, political committees, and electioneering communication organizations (ECO).

### Application 1: Statewide Electronic Filing System (SEFS)

#### Security Management

- Secure web site required.
- All passwords, PINs and security answers must be stored encrypted.
- The password must be at least 8 characters long and contain upper and lower case and contain at least one number or special character.
- Filers must reset initial password after first login.
- Filers must have security questions for password and PINs.
- Forgotten passwords can be reset via the security questions. The reset password/PIN is emailed to the filer. The filer will be forced to set a new password/PIN.
- Filing officers can reset filer’s passwords/PINs and the reset password/PIN is emailed to the filer. The filer will be forced to set a new password/PIN after a reset.
- Log all password/PIN resets.
- Filers can change the password/PIN at any time but a PIN entry is required.
- Only active chairpersons, treasurers, and registered agents have valid PIN numbers.
- By statute, a PIN is considered to be the person’s signature under oath and PIN entry will be required to complete various processes in the system. It is the responsibility of the user to keep their PIN secure and to reset it immediately if it is compromised. All transactions requiring PIN verification will have the user and time of entry recorded.
- Filing officers have a read only view in SEFS to support help desk questions. All administrative tasks are performed in the administrative application.

#### Online Registration

- Prevent automated enrollment by hackers (*i.e.*, Captcha).

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- Send email with “enrollment link” to verify email and start approval process.
- Filing officer must approve registration
  - Jurisdiction
  - Type of filer: Political Party, Affiliated Party Committee, Electioneering Communications Organization, Political Committee, Candidate, or individual
  - Upon approval an email will be sent to the filer with a link for completing registration.
- The filer will not be considered registered until the following steps are completed:
  - Entry of the account password, PIN and security questions for the candidate or chairperson.
  - Designation of the depository if required.
  - Appointment of a primary treasurer if required.
    - Treasurer must accept the appointment online and enter his or her PIN and security questions.
  - Appointment of a registered agent if required.
    - Registered agent must accept the appointment online and enter his or her PIN and security questions.
- A notification will be sent as often as the filing officer designates informing the filer of outstanding steps needing completion for registration.
- Upon completion of registration, a notification will be sent to the filer.

### **Manage Filer Account Information**

- All data inserts and updates require a PIN verification.
- Candidate (Candidate PIN required to change any of the following data items)
  - See Security section for password, PIN and recovery questions.
  - Name: first, middle, last, suffix, title, salutation
  - Ballot name with special characters (as it should appear on the ballot)
  - Name pronunciation
  - Photograph image
  - Contact Information
    - Address/Phone
    - Emails
    - Public Web URL
  - Voter ID
    - Display voter data (name, county, party and status) from the Florida Voter Registration System (FVRS) so the filers can verify they entered the correct number.
    - If voter last name is not the same as the candidate last name or voter status is not active or the county is invalid for the office sought, then warn the candidate of a potential error. If voter ID is not corrected, create an alert notification for the filing officer.
  - Previous candidate account number is required if a Carryover of Funds will be reported as a contribution.
  - Statement of Candidate or Statement of Candidate for Judicial Office
  - Change of Office Submittal

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- Requires acknowledgement of petition statement:
  - I understand that upon submittal of the change of office, any petitions I collected will be set to invalid.
    - For state candidates automatically set valid petition to invalid.
    - For local candidates create an alert notification for the filing officer.
- Requires acknowledgement of Contribution Return Notice:
  - I understand that s. 106.021, Florida Statutes, requires me to send a DS-DE 86 to all contributors ...
    - DS-DE 86 should be a link to the form.
- Create a change of office notification for the filing officer (for state candidates include those county filing officers that verify petitions for the candidate).
- Ballot Method
  - Pay Fee
  - Petition Method
  - Petition by Random Sample
- Affidavit of Intention and Affidavit of Compliance for Supreme Court and District Court of Appeals retention candidates
- Candidate for Governor or Cabinet Officer Request for Contributions
- Withdrawal of Candidacy
- Confidential Letter On File – the candidate has already submitted a letter to the filing officer requesting confidentiality of personal identifying information pursuant to a public records exemption.
  - If true, then create a work item task for the filing officer to verify a confidential record is on file for the candidate.
  - If the filing officer finds no letter on file, a notice should be sent to the candidate indicating so.
- Committee (Chairperson or Treasurer PIN required)
  - See Security section for password, PIN and recovery questions.
  - Contact Information
    - Address/Phone
    - Emails
    - Public Web URL
  - Chairperson(s) (Chairperson or Primary Treasurer PIN required)
    - Name: first, middle, last, suffix, title, salutation
    - Contact Information if different than committee
      - Address/Phone
    - Appointment Date
    - Withdrawal Date
    - There can only be one chairperson at any point in time.
    - Confidential Letter On File – the chairperson has already submitted a letter to the filing officer requesting confidentiality of personal identifying information pursuant to a public records exemption.

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- If true, then create a work item task for the filing officer to verify a confidential record is on file for the chairperson.
- If the filing officer finds no letter on file, a notice should be sent to the chairperson indicating such.
- Registered Agent(s) if required
  - Name: first, middle, last, suffix, title, salutation
  - Contact Information if different than committee
    - Address/Phone
  - There can only be one registered agent at any point in time
- Statement of Organization for Political Committee
- Affiliation(s)
  - Affiliate Name
  - From Date
  - To Date
- Committee Purpose(s)
  - Purpose Code
  - From Date
  - To Date
- Issue(s)
  - Issue Jurisdiction
  - Issue ID
  - For or Against
  - From Date
  - To Date
- Participant in Special or Local Election
  - Election Jurisdiction
  - Election ID
  - Participation Start Date
  - The committee must file the special election reports or local reports which reflect only those expenditures that influence that election.
  - All special or local election reports with an end date later than the participation start date must be filed. If there was no activity for a specific report then a waiver must be filed.
- Closing the committee
- Treasurers (Candidate or Chairperson or Treasurer PIN required)
  - Only a candidate or chairperson can appoint a treasurer. Upon appointment an email will be sent to the treasurer who must accept the appointment before it becomes effective.
  - Name: first, middle, last, suffix, title, salutation
  - Contact Information if different than candidate or committee
    - Address/Phone
  - Email address
  - Appointment Date
  - Withdrawal Date
  - Treasurer Type – Primary or Deputy

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- There can only be one primary treasurer at any point in time.
- There can be up to 15 deputies for statewide candidates and all other filers can have up to three deputies at any point in time.
- Confidential Letter On File – the treasurer has already submitted a letter to the filing officer requesting confidentiality of personal identifying information pursuant to a public records exemption.
  - If true, then create a work item task for the filing officer to verify a confidential record is on file for the treasurer.
  - If the filing officer finds no letter on file, a notice should be sent to the treasurer indicating so.
- Depository (Candidate, Chairperson or Treasurer PIN required)
  - Only one primary depository at any point in time.
  - Secondary depositories are allowed in each county in which an election is held in which the candidate or committee participates.
  - ECOs do not designate depositories.

### Forms

- Most of the forms on the DOE web site <http://election.dos.state.fl.us/forms/index.shtml> have been incorporated into the online filing system with electronic submission using the PIN in lieu of the signature. The following forms would no longer be submitted in hardcopy from:
  - DS-DE 5 Statement of Organization for Political Committee
  - DS-DE 6 Appointment of Campaign Treasurer and Designation of Campaign Depository for Political Committees
  - DS-DE 9 Appointment of Campaign Treasurer and Designation of Campaign Depository for Candidates
  - DS-DE 41 Registered Agent Statement of Appointment
  - DS-DE 73 Campaign Loans Report
  - DS-DE 73A Campaign Loans Report Itemized
  - DS-DE 83 Statement of Candidate for Judicial Office
  - DS-DE 84 Statement of Candidate
  - DS-DE 96 Affidavit of Intention (Supreme Court & DCA)
  - DS-DE 97 Affidavit of Compliance (Supreme Court & DCA)
  - DS-DE 98 Candidate for Governor or Cabinet Officer Request for Contributions
- Some forms are not filed with the filing officer and therefore just need a link to the form (e.g., DS-DE 86 Request for Return of Contribution).
- Some forms are filed with the filing officer and only the image needs to be accessible to the public (e.g., DS-DE 2 Contributions Returned). This data will be completed online and the image of the form will be stored. These completed documents can be submitted with PIN verification. These documents can be viewed by the public in a manner similar to the current DOE public document site:  
<http://doe.dos.state.fl.us/PublicRecordsBER/wfPublicImagesBER.aspx>
- Some forms such as the qualifying forms need to be notarized and therefore cannot be submitted electronically. These forms will have the hardcopy turned into the filing officer. The administrative application for SEFS must be capable of storing and

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referencing scanned images of the documents that have been redacted to remove any confidential information. The public access application would provide access to all document images.

### Campaign Treasurer Reports

- By statute, report data is exempt from public record until it is filed. This pending data must be stored in a separate area than the filed report data which is accessed by the public.
- Large data tasks should be processed in a batch queue. These tasks include creating a report, uploading a file, amending a report, reviewing a report, filing a report and deleting a report.
- Report List: list all reports and allowable actions for a specific election cycle or period
  - Filed reports are read only
    - View
    - Amend (if it is not already in amended status)
      - The amended data is exempt from public record until the amendment is filed.
      - Create a pending copy of the report in an area separate from the filed report data.
  - Pending (original report or amendment)
    - Edit
    - Delete
  - New reports include reports the filer is required to file and optional reports for special or local elections which are only required if a filer expends funds to influence that election. The start date for a report is the later of the report start date or the filer's registration date, except for political committees where it is the later of the report start date or 10 days prior to the registration date.
    - Create
- Treasurer's Report
  - Summary Information
    - Amendment
    - Waiver – if checked then no detail records are allowed; disabled if detail records exist.
    - File status
    - Review Status
    - Completeness Status
    - Aggregate totals of detailed records
    - Report Actions
      - *Recalculate* aggregate totals
      - *Review* for completeness
      - *Delete* Report (if an amendment reset filed report status)
      - *File Report*
  - Requires PIN entry of one or more officers: treasurer and candidate or chairperson. Once one PIN is entered the report cannot be modified. If a

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- second PIN is required by statute, the report is not considered filed until the second PIN is entered.
- The report cannot be filed if there are no detail records and the waiver option is not checked.
  - The report cannot be filed until the period end date unless the committee has closed and then the option to change the end date to the current date is allowed.
  - Upon filing, allow filer to print a filing receipt and send a notification.
  - If filing an amendment and compliance audit error(s) exist, create a work item task for the filing officer to verify compliance errors were corrected.
  
  - Detail Records – list all pertinent information and all associated errors.
    - Listing/Search for each detail type with link to detail record.
    - Contributions
      - On candidate contributions from political committees and ECOs, the candidates must report the PC or ECO SEFS account number. This will enable the system to automatically create failure to file notices to PCs and ECOs who did not file a report. This will require a statute change.
    - Expenditures
      - On political committee and ECO expenditures to candidates, the committees must report the candidates SEFS account number. This will enable the system to validate that the expenditure was reported in the correct report. This will require a statute change.
    - Other Distributions
    - Fund Transfers
    - Linking Expenditures and Other Distributions – expenditures can be linked to other distribution in the current report or in previously filed reports and other distributions can be linked to expenditures in the current report or previously filed reports. For links involving a previously filed report, that report's record is updated only when the report is filed.
    - Refunds in contributions and expenditure must be negative amounts. They are linked to the original contribution or expenditure record based on the sequence number. With the Division of Elections' current EFS, this is an intensive manual process performed by the Division. This linking must occur when audits are performed to verify that contributions over the limit have been returned; verify that contributions received within five days of an election have been returned; and for candidates seeking public funding, the Division must ensure that every refund has been applied to the original contribution which would not be eligible to be matched for public funds; and expenditure refunds must be linked so the original expenditure is not included in the expenditure limit requirement. A mandatory linking would significantly improve the efficiency of this process and provide a

## Statewide Electronic Filing System Detailed Proposal

more accurate financial picture to the public. A statutory change is needed to mandate this link.

- Confidential Check – when a report has been filed, a comparison is performed for that report’s contributions, expenditures, and other distributions against the confidential data under the public records law and all matches are flagged for address suppression. A batch job also runs nightly to compare all newly entered confidential records against all filed contributions, expenditures, and other distributions.
- File Upload – all file uploads should meet the prescribed file specifications. The current specifications found on the Division of Elections’ web site will be modified for the SEFS. Additional fields will be added and the detail record sequence numbers will be unique across reports for the filer for the detail type. This is a significant change from the current sequencing. This sequence change will allow links between expenditures and other distributions to be based on sequence number alone, as well as links between contribution and expenditure refunds and the original contribution or expenditure record.
- Data Entry of detail records to include inserts, updates, and deletes for original reports and for amended reports, the action type (ADD, UPD, DEL) is recorded in an amendment flag field in the detail record and therefore the delete is processed as an update. When filing an amended report, for update actions, a history of the original record must be kept.
- Automatic Review of all detail records to identify completeness errors
  - Detail date is within the report cover period
  - Amount Limits
  - Required name, address, city, state and zip
  - Valid Type Codes
  - Required In-kind Description
  - Required Occupation/Purpose description
- Review Error List/Report - show completeness and compliance errors with a link to the detailed record.
- Batch Queue List – for a selected report show all queue actions and their status.
- Print Report – summary and detail records
- Download Report Data – detail records

### **Multiple Uniform Contribution Reports**

- This is an annual report filed by political committees. It is a list of contributor names that comprise all the multiple uniform contributions reported in the previous year from the same person aggregating no more than \$250 in the calendar year in treasurer reports. This report data is exempt from public record until filed.
- Report List: list all reports (filed, pending and new) and allowable actions (create, edit, delete).
- Summary Information
  - Amendment History
  - File status

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- Review Status
- Completeness Status
- Report Actions
  - *Review* for completeness
  - *Delete Report* (if an amendment reset filed report status)
  - *File Report* requires PIN entry of filer officers: treasurer and chairperson. Once one PIN is entered the report cannot be modified. The report is not considered filed until the second PIN is entered. Upon filing, allow filer to print a filing receipt and send an email notification. The report cannot be filed if there are no detail records.
- Detail records are entered by file upload only.
  - Show all associated errors.
- File Upload – all file uploads should meet the prescribed file specifications found on the Division of Elections web site. A file upload will replace a previously uploaded file. All files uploaded will be kept as a transaction log and be available to the public.
- Detail list/search
- Review Error List/Report - show completeness errors with a link to the detailed record.
- Download data – link to the last uploaded file.

### Loan Reports

- The report is required to be filed by elected candidates who received a loan exceeding \$500 in the 12 months preceding the election used for campaign purposes.
- Only one loan report is required per account and it must be filed within 10 days of the election.
- In order to send failure to file notice, a statutory change would be needed to require a waiver to be filed if the candidate did not receive any personal loans.
- This report data is exempt from public record until filed.
- Summary Information
  - Amendment History
  - File status
  - Review Status
  - Completeness Status
  - Report Actions
    - *Review* for completeness and compliance.
    - *Delete Report* (if an amendment reset filed report status).
    - *File Report* requires PIN entry of office account holder. Upon filing, print a filing receipt and send an email notification.
- Detail records are entered by data entry only.
  - Show all associated errors.
- Detail list/search
- Print Report

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### Office Account Reports

- These are quarterly reports submitted by elected officials that transferred funds to an “office account” when disposing of funds. Limits exist on the amount that may be transferred based upon the office to which the officer was elected.
- This report data is exempt from public record until filed.
- Office account balance
  - When account has a zero balance the account should be closed.
- Report List: list all reports (filed, pending and new) and allowable actions (create, edit, delete).
- Summary Information
  - Amendment History
  - File status
  - Review Status
  - Completeness Status
  - Report Actions
    - *Review* for completeness and compliance.
    - *Delete* Report (if an amendment reset filed report status).
    - *File Report* requires PIN entry of office account holder. Upon filing, print a filing receipt and send an email notification.
- Detail records are entered by data entry only.
  - Show all associated errors.
- Detail list/search
- Review Error List/Report - show completeness and compliance errors with a link to the detailed record.
- Print Report

### Notifications

- There are two types of notifications:
  - Informational notifications
  - Alert notifications require an acknowledgement by the filer.
- To Filing Officer
  - Alert notice created on demand by a filer (similar to them sending an email).
- From Filing Officer
  - Emails are sent to all email addresses associated with an account and the notification messages are stored in the system so the filer can view messages via SEFS as well as acknowledge alert notifications.
  - Notifications for reminders such as reports due or qualifying ends soon
  - Email to a specific filer can be informational or an alert
  - Alert Notifications
    - Requires filer acknowledgement
    - Failure to File Notice
    - Fine/Late Notice
    - Audit Letter
    - Statutory changes would be required to send these notices via email instead of by post.

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- Notification history available in application
  - If unacknowledged alerts exist, user should be taken to notifications upon entry into system.
- Acknowledgement of alert notice
  - Email alert notices should have an acknowledgement link.
  - Application acknowledgement requires PIN validation.
  - If alert notifications are not acknowledged with a set time limit then hardcopy letters would have to be sent.

### Help

- User Help Guide(s) – by jurisdiction (state, county, municipal)
- Page specific help

## Application 2: Administration of SEFS

### Administration

Filing officers administer filers in their jurisdiction only. For public records purposes, the applicable filing officer with whom the individuals or entities file should be the custodian of their data and records within the SEFS. This should be specified in statute.

### Security & User Roles

- There are three user roles: administrator, updater, and reader.
- A Division of Elections (DOE) administrator can create (invite), update, and deactivate user accounts for DOE staff, Florida Elections Commission (FEC) and Florida Commission on Ethics' staff, and county filing officers.
- A county administrator can create (invite), update, and deactivate user accounts for county staff and municipal filing officers in their jurisdiction.
- A municipal administrator can create (invite), update, and deactivate user accounts for municipal staff.
- A FEC administrator can create (invite), update, and deactivate user accounts for FEC staff.
- A Florida Commission on Ethics administrator can create (invite), update, and deactivate user accounts for the Commission's staff.
- The invited users are sent a registration link to complete passwords and account questions.

### Define User Guides for SEFS Help

- Each filing officer can create and modify a user's guide for filers in their jurisdiction.

### Code Definitions

- Only administrators can create or modify code definitions.
- Filing Officers
  - For state and county filing officers, the [Federal Information Processing Standard \(FIPS\)](#) county code, which is a five-digit code ([FIPS 6-4](#)) uniquely identifying

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counties in the United States, will be used as the filing officer code. The FIPS code for the State of Florida is 12000 and the codes for the counties range from 12001 to 12133.

- There are currently 410 municipal filing officers. Codes can be generated for those in the range of 12200 to 12999.
- Filer Types
  - Filer type codes can be defined by state filing officers only. There are numerous filer types that already exist, but additions may be needed for the local jurisdictions.
- Elections
  - See section [System Constraints/Issues](#).
  - All financial reports should be related to an election cycle. This grouping allows the public to see all the financial activity that influenced the election.
  - There are many dates associated with an election cycle including the following dates: primary, general, qualifying for federal and judicial offices, qualifying for all other offices, last date candidates can submit petition signature to the Supervisor of Elections (SOE), and the last date the SOE can submit signatures to the Division of Election.
- Reports and Cover Periods
  - Reports at the state level are mandated by statute.
  - Reports are defined for each filer type for each report for each filing jurisdiction for each election cycle.
  - Each filing officer would create the reports for the filers in their jurisdiction.
  - Some reports are optional for committees, such as special election reports are filed only if the committee used monies to influence that election.
  - Ch. 2013-37, Laws of Florida, introduced the filing of daily reports preceding an election. The daily reports must be filed by statewide candidates, political committees and electioneering communications organization. All daily reports except the last one preceding the election, require contribution reporting only. The last daily report should contain contributions for the previous day and any unreported expenditures for the previous week. This is the first time there has been a different coverage period for contributions and expenditures for the same report.
  - For local reports, analysis must be conducted to determine filing requirements.
- Offices
  - Every office is associated with a filing officer. An initial load of office codes can be obtained from the elections database which contains contests from the state level down to the county level. These contests or office codes are a 6 digit number that orders the offices by statutorily mandated ballot order.
  - Filing officers should be able to add or update offices in their jurisdiction.
- Codes
  - Insert, update and deactivate codes used in the applications.

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### Forms

- The administrative application for SEFS must be capable of storing and referencing scanned images of filed hardcopy documents that have been redacted to remove any confidential information. The public access application would provide access to all document images.
- Each filing officer can define local forms that are fillable PDFs or forms that will be filed by hardcopy and scanned. This must be table/data driven so forms can be added or removed by filing officers as needed.
- Each filing officer will be responsible for scanning and redacting the hardcopies they receive. A standard file naming convention must be developed and followed which will allow for bulk upload of scanned images.

### Notifications

- There are two types of notifications:
  - Informational notifications do not require a response or tasks to be performed.
  - Alert notifications required an acknowledgement or a task to be performed.
- Notifications are between the filer and their filing officer. Some state notifications may be copied to the counties that are part of the filer's jurisdiction.
- From Filers
  - Alert notice created on demand by a filer (similar to them sending an email).
  - Alert notices triggered by filer actions. For example, the filing officer is required to follow up after these actions:
    - Confidential Link
    - Check Voter ID error
    - Check amended report to verify that compliance errors were corrected
    - Respond to email from filer
- To Filers
  - Emails are sent to all email addresses associated with an account and the notification messages are stored in the system so the filer can view messages via SEFS as well as acknowledge alert notifications.
  - Notifications for reminders such as reports due or qualifying ends soon.
  - Email to a specific filer can be informational or an alert.
  - For alert notices the filer must acknowledge it.

### Fee Payments

- Applies to Division of Elections (DOE) only.
- Must interface with slip printers to print deposit information on the back of the checks.
- Generate reports for deposits.
- Qualifying Fees:
  - Must automatically split the check amount to the various account funds the qualifying fees go.
  - The party filing fees are distributed to the Party Executive committees or the Affiliated Party committee based on the office. These funds are temporarily stored in an 'operating fund' and service fees are applied during distribution. Two distributions occur: the first one is for 95% of the fees; and the second one is the remaining amount less any bad checks. Various reports are created to

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ensure that all the candidates that were supposed to pay a fee did. A detail report lists all of the candidates and the fees they paid.

- Fine Payments must be linked to the untimely filing record; update untimely filings paid amount; if paid in full then update the untimely filing status to 'closed'.

### Untimely Filings

- Generate failure to file records.
- Generate late and fine records and calculate fine by filer type.
- Send alert notification of untimely filing to filer.
- Each filing officer can use the settings define by DOE or define their own settings:
  - How many notices are sent?
  - How many days between notices?
- Electronic referrals to the Florida Elections Commission are submitted one record at a time and require filing officer PIN verification.
- Search untimely filings by various fields (account number, filer type, report, status, and data range).
- On-demand notification to a filer.

### Audits

- Define Errors & Statute or Ordinance reference per jurisdiction. Local filing officers will have access to DOE-defined statutes.
- Manually audit report and create compliance errors for detail records.
- Send alert notification of audit to filer.
- Each filing officer can use the settings defined by DOE or define their own settings:
  - How many notices are sent?
  - How many days between notices?
- Electronic referrals to the Florida Elections Commission are submitted one record at a time and require filing officer PIN verification.
- Search audits by various fields (account number, filer type, report, status, and data range).
- On-demand notification to a filer.

### Public Funding / Matching Contributions

- Distributions: insert and update data relating to the distribution cycles.
- Create distribution records: qualified candidates seeking public funding.
- All reports must be audited to enforce compliance with s. 106.35 F.S. and include, but are not limited, to the following:
  - audit all reports up to the point of distribution.
  - enter documentation status for each detail record.
  - check for multiple contributions from the same individual who can only be matched for \$250 per election (primary and general are considered separate elections).
  - check for multiple cash contributions from the same individual since a \$50 cash match limit per individual exists per election (primary and general are considered separate elections).

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- set matching flag and amount for every individual contribution from Florida.
- verify all refunds are linked to the original contribution.
- check expenditure limits.
- flag party expenditures.
- Calculate distribution:
  - For each distribution cycle calculate the total distribution for every report filed thus far less distributions already processed.
  - Match 2:1 until threshold is met, then match 1:1.
  - Keep a history of each distribution.
  - Generate detailed report of contribution matches per distribution.
- Reports
  - Alphabetically listing for contributions
  - Distribution summary report
  - Error reports

### Confidential Requests

- Data entry of all written requests for confidentiality under public records law exemptions by all filing officers. At the time of data entry, link confidential record to any matches found against candidates, chairs, and treasurers.
- Process confidential alert notifications by linking the confidential record to the candidate, chairperson, or treasurer.
- Process nightly all entered confidential records for that day against contributions, expenditures, and other distributions.

### Interface with other Division of Election systems

- Download data to the election night application.
- Update candidate status from election results.
- Download data to the commission of office application.

### Interface for local systems

- Data downloads.
- Upload election results for local elections not already reported to DOE
- Local filing officers and software vendors will need to be consulted on their needs for the system.

### Records Retention Management

- Division of Elections should be able to implement record retention rules.

### Public Records Management

- All filing officers must be able to fulfill public records request for data within their jurisdiction.
- Statutory change should occur to ensure the custodian of SEFS' data for the filers involved in any public records request is the applicable filing officer. (For example, the Division would not be responsible for fulfilling a public records request for county or municipal filers' data.)

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### Florida Election Commission (FEC) Interface

- Provide online reports which are currently available to the FEC.
- Referrals to FEC are electronically retrieved via SEFS by report or data download. This would require statute change to eliminate the sworn complaint currently required by filing officers other than the Division of Elections.
- Record the date the referral is retrieved.
- FEC can assign its unique identifier to referrals which will be a search method against the data as well as filing officer, referral date range, etc.
- FEC can send alert notifications to filing officers regarding referrals and vice versa.
- FEC administrators can update configurable setting such as email accounts that receive alerts and the number of days before an email is sent to the FEC regarding referrals that have not been retrieved.

### Florida Commission on Ethics Interface

- Provide access to CE Forms 1 and 6 to the Commission which are currently scanned and emailed to the Commission.

## Application 3: Public Online Access

### Candidate

- Search/Download
  - Election
  - Office
  - Name
  - Status
  - Treasurer
- Detail Page
  - All pertinent candidate information
  - Link to Petitions collected
  - Link to Reports By Candidate
    - For federal candidates link to the federal reporting web site
  - Link to Loan Reports
- Petitions collected detail page

### Committee

- Search/Download
  - Type
  - Jurisdiction
  - Status
  - Affiliates
  - Purpose
  - Officers
    - Chairperson
    - Treasurer
    - Registered Agent

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- Detail Page
  - All pertinent committee information
  - Link to Reports By Committee (see finance reports section)

### Finance Reports

- Treasurer Reports By Election Cycle
  - For results involving candidate or committee criteria, provide the option to return total amounts instead of detail records.
  - User should be able to sort data on any field returned.
  - User can choose to view data online or to download the data.
  - Contributions Search/Download
    - Candidate or Committee Name
    - Contributor Name
    - Date Range
    - Amount Range
    - Contributor Type
    - Contribution type
  - Expenditures Search/Download
    - Links to Other Distributions
    - Candidate or Committee Name
    - Expenditure Name
    - Date Range
    - Amount Range
    - Expenditure Type
  - Other Distributions Search/Download
    - Links to Expenditures
    - Candidate or Committee Name
    - Other Distribution Name
    - Date Range
    - Amount Range
    - Other Distribution Type
  - Fund Transfers Search/Download
    - Candidate or Committee Name
    - Fund Transfer Name
    - Date Range
    - Amount Range
    - Fund Transfer Type
- Uniform Multiple Contributions
  - Candidate or Committee Name
  - Contributor Name
- Loan Reports
  - Candidate Name

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- Loan Name
- Date Range
- Amount Range
  
- Office Account Reports
  - Office Account Holder Name
  - Expenditure Name
  - Date Range
  - Amount Range
  - Expenditure Type
  
- Reports By Candidate or Committee
  - List all reports filed, including report cover period and file date.
  - Select all or some reports to view or download detail data.
  
- Data Downloads
  - Bulk data files generated after filing periods.

### Notifications and Scanned Document Forms

- Search and Download
  - By filing officer
  - By filer type
  - By notification type
  - By document type
  - By date ranges

## SEFS Cost Estimates

### SEFS Application Development

Average Application Development Cost per Hour on State Contract: \$105.35

<b>Application 1: Statewide Electronic Filing System</b>		
<b>Description</b>	<b>Hours</b>	<b>Cost</b>
Security Management	40	\$4,214.00
Online Registration	150	\$15,802.50
Manage Filer Account Information	150	\$15,802.50
Forms	873	\$91,970.55
Campaign Treasurer Reports	80	\$8,428.00
Multiple Uniform Contribution Reports	80	\$8,428.00
Loan Reports	80	\$8,428.00
Office Account Reports	80	\$8,428.00
Notifications	40	\$4,214.00
Help	300	\$31,605.00
<b>TOTAL:</b>	<b>1,873</b>	<b>\$197,320.55</b>

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<b>Application 2: Administration of SEFS</b>		
<b>Description</b>	<b>Hours</b>	<b>Cost</b>
Security & User Roles	4	\$421.40
Define User Guides for SEFS Help	8	\$842.80
Code Definitions	24	\$2,528.40
Forms	8	\$842.80
Notifications	8	\$842.80
Fee Payments	552	\$58,153.20
Untimely Filings	92	\$9,692.20
Audits	112	\$11,799.20
Public Funding / Matching Funds	80	\$8,428.00
Confidential Requests	80	\$8,428.00
Interface with other DOE Systems	80	\$8,428.00
Interface for Local Systems	40	\$4,214.00
Records Retention Management	8	\$842.80
Public Records Management	40	\$4,214.00
Florida Election Commission Interface	24	\$2,528.40
Florida Commission on Ethics Interface	40	\$4,214.00
<b>TOTAL:</b>	<b>1200</b>	<b>\$126,420.00</b>

<b>Application 3: Public Online Access</b>		
<b>Description</b>	<b>Hours</b>	<b>Cost</b>
Candidate	120	\$12,642.00
Committee	48	\$5,056.80
Finance Reports	124	\$13,063.40
Notifications and Scanned Document Forms	48	\$5,056.80
<b>TOTAL:</b>	<b>340</b>	<b>\$35,819.00</b>

<b>Miscellaneous</b>		
<b>Description</b>	<b>Hours</b>	<b>Cost</b>
Discovery	350	\$36,872.50
Project Management	505	\$53,201.75
Documentation & Training	80	\$8,428.00
3 MS SQL Server Enterprise Edition Licenses	NA	\$30,000.00
Infrastructure Setup for 3 environments	120	\$12,642.00
Data Migration	320	\$33,712.00
<b>TOTAL:</b>	<b>1375</b>	<b>\$174,856.25</b>

<b>Grand Total</b>
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Description	Hours	Cost
Application 1: SEFS	1873	\$197,320.55
Application 2: Administration	1200	\$126,420.00
Application 3: Public Online Access	340	\$35,819.00
Miscellaneous:	1375	\$174,856.25
<b>GRAND TOTAL:</b>	<b>4748</b>	<b>\$534,415.80</b>

### Recurring Yearly Costs

Description	Cost
Cloud processing and storage	\$80,000
One FTE for IT ( cost includes benefits)	\$65,000
<b>TOTAL:</b>	<b>\$145,000</b>

## Request For Information

The Division of Elections issued the enclosed Request for Information (RFI) on September 30, 2013, with responses due on October 25, 2013. The Division sought responses to five questions:

1. What features does the election software offer?
2. What is the typical timeline for the development of the required product?
3. What is the estimated licensing and maintenance fees for state, county and municipal filing officers?
4. What is the estimated data migration fee for state, county and municipal data?
5. What is the estimated fee for customizing the software so it complies with Florida laws and rules?

Ten vendors, which are listed below in alphabetical order, responded to the RFI. Their responses as submitted are addendums to this proposal. These responses are truly educated best guesstimates at the present without knowing what the final specifications for the project will entail. Without knowing the full scope of the project, the vendors taken as a whole estimate the time it would take to create the system from a low of 3 months to longer than 18 months depending upon the final requirements of the project. Some of the vendors have campaign finance software that can be modified to meet Florida requirements and other vendors have the capability and capacity to create the software needed.

## HP

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	<i>Campaign Finance Information System</i> – web-enabled system; reports contributions & expenditures; has 3 modules – public, filing and administration; scalable & customizable; written in latest .Net technology; can be hosted in-house or in the Cloud; Provides qualifications and experience.
Modification Timeline	Typically 9 to 12 months depending on the requirements. Provides detail list of factors that impact the development time.
License & Maintenance Fees	Depends on numerous factors.

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Data Migration Fees	Depends on scope of data conversion. Provides detail migration steps.
Customization Fees	Can negotiate a firm fixed price or a time and material contract.

**Image API**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	No existing election software but they can utilize a combination of software they have developed to support the SEFS. Provides solution details using software features. Provides qualifications and experience.
Modification Timeline	Depends on the specific requirements but projects with similar functionality have been completed in 6 to 18 months.
License & Maintenance Fees	License fee dependent on unknown configuration driven variables; a one-time fee in the range of \$200,000 to \$500,000. Maintenance would be 20% of overall project cost.
Data Migration Fees	Depends on scope of data conversion but will be priced at state contract pricing.
Customization Fees	None given for initial customization; After deployment, modifications are typically part of the annual maintenance fee.

**ISC**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	No existing election software but they can custom develop software for Florida. Provides solution details. Provides qualifications and experience.
Modification Timeline	None given
License & Maintenance Fees	Three options: charge less than \$10 per filing; fixed price deliverable basis; or an hourly basis using State Term IT Services contract. Also open to negotiating terms of transfer of ownership and maintenance.
Data Migration Fees	Depends on scope of data conversion.
Customization Fees	No fee since the software will be developed specifically for Florida.

**ISF**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	No existing election software but they can custom develop software for Florida. Provides solution details. Provides qualifications and experience.
Modification Timeline	Depends on scope of the project.
License & Maintenance Fees	Depends on scope of the project. Provides cost methodology. DOS will own the system and source code. No licensing fees apply. Warranty time is included. Maintenance contract can be negotiated.
Data Migration Fees	None given
Customization Fees	No fee since the software will be developed specifically for Florida.

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**PCC**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	<i>Campaign Finance Information System (CFIS)</i> – web-enabled system; reports contributions & expenditures including obligations; report data is not accessible by the public until filed; has 3 modules – committee (filing), agency (admin) and public; scalable & customizable; written in latest technology; can be hosted in-house or in the Cloud; etc. Provides qualifications and experience.
Modification Timeline	Could take between 12 and 18 months depending on scope.
License & Maintenance Fees	One-time state license fee is \$2,000,000 which covers all jurisdictions or for individual licensing: state is \$250,000, large local is \$125,000, medium local is \$60,000 and small local is \$25,000. Maintenance fee is 10% to 20% of total license and customization fees. Other options are pay as you go or monthly subscription licenses for a cloud solution.
Data Migration Fees	State data: \$50,000 to \$100,000 and County data: \$12,000 to \$50,000
Customization Fees	\$200,000 to \$500,000

**Quest**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	<i>FirstTuesday® Campaign Finance</i> – web-enabled system; reports contributions & expenditures; lists numerous functions; scalable & customizable; written in latest technology; cloud-based; etc. Provides qualifications and experience.
Modification Timeline	Generally 10 months; Provides detail implementation plan
License & Maintenance Fees	Zero License Fee with usage agreement; Maintenance includes call center/help desk, application support/maintenance, cloud-based managed hosting for is \$9,000 to \$13,500 per month or \$108,000 to \$162,000 yearly. This fee does not include cost for municipalities.
Data Migration Fees	\$55,000 to \$105,000
Customization Fees	\$232,350 to \$531,375

**Sivad**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	<i>EasyVote</i> – web-enabled system; three areas – candidates (no committees), voter registration and public; lists numerous functions; cloud-based and scalable, etc. Provides qualifications and experience.
Modification Timeline	Less than 5 months
License & Maintenance Fees	License include technical support and training to filing officers. Yearly Cost: state is \$25,000; county is based on population and ranges from \$2,500 to \$7,500; and municipal is based on population and ranges from \$250 to \$5,000; with a total estimate between \$750,000 to \$800,000.

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Data Migration Fees	\$100,000 plus travel and expenses
Customization Fees	\$100,000 plus travel and expenses

**SOE**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	<i>Clarity Software Suite (CFinance)</i> – web-enabled system; lists numerous functions for filers, public and administrators; cloud-based and scalable, etc. Provides qualifications and experience.
Modification Timeline	Between 6 to 12 months depending on scope.
License & Maintenance Fees	North Carolina’s statewide system cost was \$1 million; depends on requirements.
Data Migration Fees	Depends on scope of work
Customization Fees	Depends on scope of work

**Sunsational**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	No existing election software. They specialize in requirement analysis and project management.
Modification Timeline	None given
License & Maintenance Fees	None given
Data Migration Fees	None given
Customization Fees	None given

**United Solutions**

ESTIMATES FOR	RESPONSE SUMMARY
Election Software Features	No existing election software. <i>oscFile (Corporate Suite: Workflow, LiveForms and Webview)</i> is an electronic content management solution with emphasis on document management; host in-house or cloud-based. Provides qualifications and experience.
Modification Timeline	Typically 3 to 6 months
License & Maintenance Fees	Licensing fee is \$344,250; Maintenance fees are \$48,000 yearly
Data Migration Fees	Dependent on scope of work
Customization Fees	Fees are included in the setup and training costs

**Summary of Proposed SEFS Statutory Changes**

To accomplish what this proposal envisions, several statutory changes are necessary. Based upon the magnitude and scope of this project, the Division of Elections recommends at least a three-year

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startup date after legislation is enacted to develop, design, test, provide training, and implement the SEFS. As envisioned in the proposal, the following changes to the Florida Statutes should occur:

- Sections 99.061 and 105.031 should be amended to change the requirement that the “form for the appointment of campaign treasurer and designation of campaign depository, as required by s. 106.021” must be received by the filing officer to a requirement that the appointment of campaign treasurer and designation of campaign depository must be made in the SEFS.
- Section 106.021 should mandate the filing of the designation of campaign depository and appointment of campaign treasurer with the applicable filing officer be accomplished via the SEFS. Also, the acceptance by the campaign treasurer and deputy treasurer must be accomplished via the SEFS.
- Section 106.022 should mandate the filing and acceptance of the registered agent appointment for political committees and electioneering communications organizations be done with the applicable filing officer via the SEFS.
- Section 106.023 should mandate the filing of the “Statement of Candidate” be done with the applicable filing officer via the SEFS.
- Section 106.03 should mandate that the statement of organization for political committees and electioneering communications organizations be filed with the applicable filing officer via the SEFS.
- Sections 106.07 and 106.0703 should
  - Define repeated late filings and mandate that a violation of the provision is itself a violation of chapter 106. The SEFS should automatically refer repeated late filings to the Florida Elections Commission.
  - Mandate campaign finance reports include the SEFS account filing number in the following two instances: (1) Contributions from political committees to candidates must include the SEFS account number of the political committee on the candidates’ reports; and (2) Expenditures from political committees and ECOs that are made on behalf of candidates which they support or oppose must include the candidate’s SEFS account number on the political committee and ECO expenditure reports (the other candidate identifying fields such as office and jurisdiction would no longer be necessary). This will enable the SEFS and its filing officers to readily identify those political committees and ECOs that participate in elections in jurisdictions where they are not normally registered. (See bullet immediately below.)
  - Mandate committees and ECOs register with only one filing officer. If said committee or ECO engages in financial activity in multiple municipal jurisdictions within one county, they should register at the county level. If said committee or ECO engages in financial activity in multiple county jurisdictions, they should register with DOE. These committees and ECO’s will have to file the reports required by their filing officer as well as local reports in the same manner special elections are treated by reporting all expenditures that might influence the local election.
  - Provide that refunds in contributions and expenditure as reported in the SEFS must be linked to the original contribution or expenditure record based on their sequence number contained in the SEFS when first reported.
  - Mandate that all notifications by the filing officer to filers be made by email notifications to the email address of record contained in the SEFS and that notice is deemed sufficient if sent to the email address on record.

# FLORIDA DEPARTMENT *of* STATE

## Statewide Electronic Filing System Detailed Proposal

- Delete provisions regarding postmarked filings and mailings for determinations of late filings.
- Section 106.0702 should mandate that reports filed by individuals seeking a publicly elected position on a political party executive committee who receive a contribution or make an expenditure file their reports with the appropriate supervisor of elections via the SEFS.
- Section 106.0705(2) should mandate that the SEFS applies to all filers at state, county, and municipal levels, not merely those who file with the Division of Elections. It should also include individuals filing reports under s. 106.0702 and 106.071. The provision permitting the governing bodies of political subdivisions to impose electronic filing requirements on its officers and candidates should be deleted. Also, for purposes of Chapter 119, Florida Statutes, s. 106.0705 should mandate that the custodian of the data and records within the SEFS is the applicable filing officer with whom the individual or entity files.
- Section 106.0706 should apply to all user identifications and passwords for use in the SEFS, not merely to those in the possession of the Division of Elections.
- Section 106.075 should require reports of loans be filed via the SEFS and require a negative report if a person elected to office did not have any loans that meet the requirements of the section.
- Subsections 106.141(8) and (9) should be amended to mandate the reports regarding surplus funds and office accounts be filed via the SEFS, not on forms prescribed by the Division of Elections.
- Section 106.25 should be amended to permit referrals from all filing officers to the Florida Elections Commission via the SEFS without the requirement of a sworn complaint. This section or s. 106.0705 also should be amended to include a requirement that the SEFS have an interface with the Florida Elections Commission to enable electronic referrals to it from all filing officers.
- Section 106.29 should indicate that political party executive committees should file with the applicable filing officer via the SEFS.
- Sections 112.3144 and 112.3145 may also need to be amended to require that the SEFS be used by candidate filing officers as the method to electronically transmit financial disclosure forms to the Florida Commission on Ethics may be accomplished via the SEFS. (Section 112.3144 already directs the Florida Commission on Ethics to submit a proposal by December 1, 2015, to the President of the Senate and the Speaker of the House of Representatives for a mandatory electronic filing system for recording and reporting full and public disclosure of financial interests or any other form that is required pursuant to s. 112.3144. The Commission must also address the feasibility and necessity of including statements of financial interests filed pursuant to s. 112.3145 in the proposed system.)





## FLORIDA DEPARTMENT OF STATE

**RICK SCOTT**  
*Governor*

**KEN DETZNER**  
*Secretary of State*

REQUEST FOR INFORMATION (RFI)  
Statewide Electronic Filing System (SEFS).  
RFI-09-13-1 September 30, 2013

**PLEASE READ CAREFULLY!**

\*\*\*\*\*

### **Introduction**

This is a Request for Information as defined in Section 287.012(22), Florida Statutes. The Department of State (DOS) is issuing this RFI for planning purposes only. This RFI is **NOT** a solicitation and will not result in a contract. However, information received in response to this RFI may be used to develop future procurements.

### **Background**

As part of a legislative proposal required by section 16 of [chapter 2013-37](#), Laws of Florida, the Division of Elections, a division of the Florida Department of State, is estimating and analyzing the cost to develop, implement and maintain a campaign finance Statewide Electronic Filing System (SEFS). The SEFS would accommodate the filing of statutorily required treasurer reports to be filed by state, county and municipal level "filers" with the respective filing officers. These filers include candidates, political parties, affiliated political committees, political committees, electioneering communications organizations and office account holders. "Filing officers" include the Division of Elections at the state level, Supervisor of Elections at the county level, and City Clerks at the municipal level, and they are responsible for administering/managing all filers under their respective jurisdiction.

SEFS should be paperless to the extent possible and at a minimum have the following functionalities: online filer registration, account information management, security management, and email notifications. The filer would enter the report data manually or by uploading a file (see [http://election.dos.state.fl.us/EFS/pdf/DSDE111\\_FileSpec.pdf](http://election.dos.state.fl.us/EFS/pdf/DSDE111_FileSpec.pdf)). Filing officers would need an application to perform administrative tasks such as defining report due dates, auditing reports, notifying filers for failing to file reports and calculating fines for filing late reports. An online system is needed to give the public access to all state, county and municipal filer information contained therein that is not exempt from public record. For examples, see <http://election.dos.state.fl.us/candidate/index.asp>, <http://election.dos.state.fl.us/committees/ComLkup.asp> and <http://election.dos.state.fl.us/campaign-finance/cam-finance-index.shtml>.

## Responses to RFI

Vendors with existing election software are requested to respond to as many questions as possible. It is not mandatory to respond to all questions. Partial responses will be accepted. For all questions relating to estimated costs, fees or expenses, this is not to be construed as a formal request for pricing. Only a budgetary estimate is requested. No pricing submitted can or will be used in placement of a purchase order.

1. What features does the election software offer?
2. What is the typical timeline for the development of the required product?
3. What is the estimated licensing and maintenance fees for state, county and municipal filing officers?
4. What is the estimated data migration fee for state, county and municipal data?
5. What is the estimated fee for customizing the software so it complies with Florida laws and rules?

Event	Date
Request for Information Release	September 30, 2013
Deadline for Written Questions	On or before <b>3:00 p.m. EDT</b> , October 11, 2013
Anticipated date written responses to written questions will be posted on the Vendor Bid System (VBS).	<b>3:00 p.m. EDT</b> , October 16, 2013
Responses Due	On or before <b>3:00 p.m. EDT</b> , October 25, 2013
Response Opening	Responses will be opened as received.

**Note:** All vendor responses will become public information. Do not submit a response that may include proprietary information.

Responders are requested to submit two (2) originals of the entire RFI response.

Please sign and return the vendor contact information form along with the response submitted by the due date and time specified to:

Vonda Murray  
Purchasing Director  
R.A. Gray Building. Room 428  
500 S. Bronough Street  
Tallahassee, FL 32399-0250  
Phone: 850-245-6590  
Fax: 850-245-6583  
[Vonda.murray@dos.myflorida.com](mailto:Vonda.murray@dos.myflorida.com)

## POINT OF CONTACT

Point of contact person is Vonda Murray 850-245-6590, [Vonda.murray@dos.myflorida.com](mailto:Vonda.murray@dos.myflorida.com)  
Alternate contact is Sandra Rogers 850-245-6593, [Sandra.rogers@dos.myflorida.com](mailto:Sandra.rogers@dos.myflorida.com)

#### **VENDOR QUESTION**

**Vendors may submit written questions by email to [Vonda.murray@dos.myflorida.com](mailto:Vonda.murray@dos.myflorida.com) no later than 3:00 p.m. EDT, Friday, October 11, 2013.**

**Answers to all vendor questions will be posted on the Vendor Bid System on or before 3:00 p.m. EDT, Wednesday, October 16, 2013.**

#### **GENERAL INFORMATION**

The Department of State is not liable for any cost incurred by vendors in replying to this RFI. Any information provided may be used to assist the Department in developing a procurement document. Vendors responding to this RFI may still respond to any resulting competitive solicitation. (See Section 287.057(17)(c), Florida Statutes).

#### **COMMUNICATION**

Vendors are requested to provide only written communication to the staff designated above as the point of contact.

No individual member of the State or employee of the State is empowered to make binding statements regarding this RFI. The point of contact will issue any clarifications or opinions regarding this RFI in writing.

Violation of these conditions may be considered sufficient cause to reject a vendor's response to the RFI.

REQUEST FOR INFORMATION (RFI)  
Statewide Electronic Filing System (SEFS).  
RFI-09-13-1 September 30, 2013

**VENDOR CONTACT INFORMATION** - The response must include the vendor contact information below listing the specific person(s) who are responsible for preparing the vendor's response. Each vendor should designate a specific contact person who will be responsible for responding to the Department if any clarifications of the vendor's response should become necessary.

Vendor Name:

---

Address:

---

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Prepared By: \_\_\_\_\_ Title: \_\_\_\_\_

\_\_\_\_\_ Title: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Phone Number: \_\_\_\_\_ FAX: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

---

# DOS MISSION CRITICAL TRAVEL JUSTIFICATION

## 1) Indicate **specific** statutory purpose or federal/other grant authorization for this travel:

*Section 97.012, Florida Statutes, requires the Department of State to obtain and maintain uniformity in the implementation and interpretation of the election laws and provide technical assistance to the Supervisors of Elections concerning their duties.*

## 2) Travel expenses reimbursed from what type of fund (GR or specify Trust Fund):

*General Funds*

## 3) Total number of people requesting authorization for this trip:

3

### If more than one person traveling, what is the reason?

*Various Department of State employees are subject matter experts in different fields*

## 4) Teleconferencing must be considered prior to approval of mission critical travel as referenced in state law effective January 27, 2009. Could teleconferencing or other forms of communication be used in lieu of this requested travel?---is it currently available or could this type of communication be created?

NO  YES

### If you answered "NO" please explain why not:

*No teleconference is available as this conference is an interaction between election officials and Division employees.*

## 5) If travel is by vehicle rather than air:

- Is a state car available?  NO  YES
- Rental (Avis) / Personal Vehicle: Have you selected the least expensive means for your trip?  
 NO  YES

*(Hybrid car rentals may be considered as intermediate cars and the per-day charge may be higher)*

## 6) How is this travel critical to the Agency's Mission?

*This conference allows for a venue for the Division to provide training and instruction to all Supervisors of Elections on updated laws, rules and procedures. This insures consistency in practices and helps to ensure accurate and fair elections for the citizens of the state of Florida.*

## 7) How will this travel benefit the State?

*This conference provides Supervisors of Elections with tools necessary to perform accurate and fair elections and reduces the amount of inconsistencies in election process.*

EMPLOYEE SIGNATURE \_\_\_\_\_

DIVISION DIRECTOR \_\_\_\_\_

DEPUTY SECRETARY \_\_\_\_\_

AGENCY HEAD \_\_\_\_\_

# Request for Information RFI-09-13-1 Statewide Electronic Filing System (SEFS) ANSWERS TO VENDOR QUESTIONS

## Addendum #2

### Questions and Responses - 1

1. What database and languages are used to support the current campaign finance system?  
Database is MS SQL Server; Application is written in .net; Language is English.
2. What factors led you to decide not to use the Department of State's existing campaign finance system?  
This decision has not been made. The response to the RFI will help the Division of Elections in deciding the system or systems which it places in the proposal that the Legislature has mandated.
3. Please provide the database schema underlying the existing system. (This is would be helpful to help assess the complexity of the data conversion process needed.)  
For the table schema refer to the document EFS\_MigrationSchema.txt. The campaign treasurer reports would require migration of reports from the previous 2 years only.
4. How many municipalities do you anticipate will use this system?  
Per Florida League of Cities, there are currently 410 municipal governments in Florida. A complete alphabetical listing of all municipalities can be found at <http://www.floridaleagueofcities.com/Directory.aspx>. On the right hand side of the alphabetical listing, one can download a complete directory with municipal government elected officials, addresses, population figures, etc.
5. How many entities (candidates, political parties, political action committees, etc.) do you anticipate will use this system? Currently, there are 893 active committees/parties at the state level. For candidates, the following table gives the totals by election for the Division of Election (DOE) and Supervisor of Elections (SOE), who report only constitutional office candidates to DOE. You would have to check with SOE's for a count of local committees/parties as well as other local candidates that would file in SEFS too. You would have to check with the Municipal Clerks for a count of municipal candidates and committees.

Candidate Counts by Election			
ccType	canElecID	FilingOfficer	Total
CAN	20141104-GEN	DOE	432
CAN	20121106-GEN	DOE	1235
CAN	20121106-GEN	SOE	3408
CAN	20101102-GEN	DOE	1087
CAN	20101102-GEN	SOE	2266

6. Do you expect the vendor to provide technical support to the users of the system?  
If the vendor offers technical support, it should be listed in the RFI response to question 3. (What is the estimated licensing and maintenance fees for state, county and municipal filing officers?)
7. What public access do you plan to support? Do you anticipate broad unsupervised download access by the public?  
It must provide, at the least, the current public inquiries and downloads available, which are located at <http://election.dos.state.fl.us/candidate/index.asp>, <http://election.dos.state.fl.us/committees/ComLkup.asp> and <http://election.dos.state.fl.us/campaign-finance/cam-finance-index.shtml>.
8. Who do you anticipate will be the first level of support for this system?  
The Division of Elections would support the Supervisors of Elections and Municipal Clerks. Each filing officer would

support the filers in their jurisdiction.

9. Are there any external interfaces? If yes, please explain.

The system needs to have functionality to process uploaded files and to produce files for downloading data by the filer and by local Supervisors of Elections and Municipal Clerks for use in their local system.

10. Under what conditions would a committee, party or candidate be able to register online?

Online registration is a requirement of the new system. The filing officers must be able to approve all registrations for filers under their jurisdictions.

## Questions and Responses - 2

1. Is there a provision to email the response or do you need the 2 paper copies mailed in?

An emailed response is acceptable.

## Questions and Responses - 3

1. Have the DOS conducted market survey in respect to the availability of the election software electronic filing system? Yes, the Division of Elections conducted an informal survey of other states regarding their campaign finance databases.

2. What were the results of that survey? Overall, we determined that while many states have an electronic campaign finance database, most of them were designed in-house. A small number of states were in a similar situation to Florida, in that they were in the process of establishing such a database or conducting a major revision. We were able to identify several states that had contracted with an outside vendor to design their campaign finance database. This information was then used, in part, as a basis for submitting the RFI to vendors.

3. Would the DOS entertain option to use the solution in a saas (cloud) environment? Yes

4. Is there a legacy software system that the DOS is using for that purpose? Yes

5. What are the specifics for data migration to be performed?

Import all active filers from the state county and municipal level, if available electronically. Data items would include general filer information such as name, address, filer type, etc. as well as treasurer information and chairperson for committees. It will also include campaign treasurer reports for the previous 2 years. For the 410 municipalities, we would create files standards they would have to meet in order to import their data.

6. What is the anticipated timeframe for the system delivery? This is unknown at this point in time. It will depend upon future legislation.

7. How many "filing officers" roles are expected to use the software? At least 3 filing officer roles: Read only, Updater, and Administrator; plus, a non-filing officer role of System Administrator.

## Questions and Responses - 4

1. Does the Division of Elections have or envision mandatory online filing in support of its vision of being paperless? Currently, filers who file with the Division of Elections must file campaign treasurer reports online and some counties have mandatory electronic filing of reports. It would require statutory changes to implement a completely paperless system with regards to online registration and notifications.

2. If not, what is the current or expected volume (per day during peak period) of paper-based filings and registrations that are/would be processed by agency staff? Reports filed with the State are all filed online. For a list of submitted forms from filers to the Division of Elections or notifications from the Division of Elections to filers go to <http://doe.dos.state.fl.us/PublicRecordsBER/wfPublicImagesBER.aspx>. Select 'Account Type' and then select 'Form Desc'.

FormYear	Total
2010	16723
2011	10257
2012	23347
2013	9969

## Campaign Documents Search

Forms are available in Adobe's Acrobat PDF format for viewing or printing at your computer. The PDF format requires use of Adobe's Acrobat Reader, which may be installed on your computer.

Account Num	<input type="text"/>
Account Name	<input type="text"/>
Account Type	CAN - Candidate
Form Desc	all
Election Id	Affidavit of Compliance
	Affidavit of Intention
	Audit Letter
	Candidate Appt of Campaign Treasurer
	Change of Address / Officers
	Check
	Fail to File Letter
	FEC Referrals
Submit	<input type="button" value="Submit"/>

3. Your Question #4 asks for an estimated data migration fee for state, county and municipal data. Can you clarify if this data resides in one current system or disparate systems, and if multiple systems what are the types and counts of these databases.

The data is in disparate systems. Besides the Division of Elections, there are 67 County Supervisors of Elections and 410 Municipal Clerks who act as filing officers. For the municipalities, we would specify the uniform file standards that they would have to meet in order to import their data.

## Questions and Responses - 5

1. Regarding estimated licensing and maintenance fees for the state county and municipal filing officers:
- a. Our estimated numbers reflect a single system with 1,000 concurrent users. Is there a more accurate number available for this? Does the Department know how many users may be connected to the system at any given time and the expected duration of those connections?

Since there are 67 county filing officers and 410 municipal filing officers alone, there could be 500 concurrent users in filing officers alone. Currently, there are 893 active committees/parties at the state level. For candidates, the following table gives the totals by election for the Division of Election (DOE) and Supervisor of Elections (SOE), who report only constitutional office candidates to DOE. You would have to check with SOE's for a count of local committees/parties as well as other local candidates that would file in SEFS too. You would have to check with the Municipal Clerks for a count of municipal candidates and committees. The duration of the connections would be unknown.

Candidate Counts by Election			
ccType	canElecID	FilingOfficer	Total
CAN	20141104-GEN	DOE	432
CAN	20121106-GEN	DOE	1235
CAN	20121106-GEN	SOE	3408
CAN	20101102-GEN	DOE	1087
CAN	20101102-GEN	SOE	2266

- b. How many of the connected users will be in-house developers, power users, or casual users?  
Answered in part a.
- c. How many members of the public will need to be accommodated at a given time, and for how long per access? This is unknown.

- d. How many systems are intended to be operated statewide? Does the Department plan to have a primary and a backup site, and will they each require a full complement of software? If so, will one site be used for development, while the other is used for production? **A production site with failover and a development site would all require a full complement of software. The failover system could not be used as a development site.**
  - e. Does the Department intend the SEFS to be comprised of a single system or multiple systems for regions around the state? **We would be open to any viable solution.**
  - f. Does the Department envision using external resources for production, development or both? **If you are referring to cloud computing, then the answer is yes.**
2. Regarding data migration:
    - a. What format is the data in at present? **Division of Elections data is in MS SQL Server. It is unknown what format is used by the 67 Supervisor of Elections and the Municipal Clerks. For the 410 municipalities, we would create uniform file standards they would have to meet in order to import their data.**
    - b. Where is the existing data located? **At each filing officer's location.**
  3. Regarding software development and features:
    - a. Has the department identified any specific desired features at this time you will be asking for in any future procurement? **We would like to have a paperless system using email for notifications and an acknowledgement by filers for alert notifications. Filers should be able to update account information such as change in address, phone number, affiliations, etc. as well as changes in their officers, campaign treasurer, chairperson, or registered agent. The report filing should process file uploads (specification link was given in RFI) but also allow manual entry of report data. The system should have a review/audit feature which automatically checks report detail data for required elements and valid codes as well as allowing filing officers to flag records for statutory non-compliance items.**
    - b. What timeline has been established for the department to procure and implement the SEFS system? **Indeterminate at this time.**
  4. Regarding customization of the software to meet the requirements of Florida laws and rules:
    - a. What Florida laws and rules regulate the use of a Statewide Electronic Filing System? **The 2013 Legislature enacted a law (Section 16, [Ch. 2013-37](#), Laws of Florida) directed the Division of Elections to submit a proposal for a mandatory statewide electronic filing system for all state and local campaign filings. The state's current electronic filing system for filers who file with the Division is governed by Sections [106.0705](#) and [106.0706](#), Florida Statutes. Also, Rule [1S-2.017](#), Fla. Admin. Code, entitled, "Reporting Requirements for Campaign Treasurer's Reports, is currently applicable.**
    - b. Are there present procedures and workflow which will need to be accommodated in the new system? **Email reminders are sent out prior to the start of a reporting period. Filer report data is loaded into temporary/pending tables and this data exempt from the public per statute. The larger functions (uploading, reviewing, amending, filing and printing a report) are all queued and processed in batch. A filer can delete a pending report at any time. When the filer "files" the report, the data is moved into permanent public accessible tables. Once a report is filed it can never be deleted but it can be amended. If amended the report data is copied into the pending tables and the filer can add, update or mark a record for deletion. After the due date an email notice is sent to filers who failed to file their report. Reports are then audited by staff and audit letters are sent to the filers.**
  5. General questions:
    - a. Does the Department intend to provide the server(s) for the SEFS, or use vendor provided systems, or facilities available "in the cloud"? **We would be open to any viable solution including a cloud environment.**
    - b. Does the Department prefer the use of Windows or Linux based server(s) for any future SEFS implementation? **Windows**

- c. In the event that a procurement results, is it preferable to the Department to purchase under State Term Contract if products and services are available through a State Term Contract? **Yes**

## Questions and Responses - 6

1. What is the volume of the state, county and municipal level filers and other data that would be migrated to new statewide electronic filing system (SEFS)?

Currently, there are 893 active committees/parties at the state level. For candidates, the following table gives the totals by election for the Division of Election (DOE) and Supervisor of Elections (SOE), who report only constitutional office candidates to DOE. You would have to check with SOE's for a count of local committees/parties as well as other local candidates that would file in SEFS too. You would have to check with the Municipal Clerks for a count of municipal candidates and committees.

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CAN	20101102-GEN	DOE	1087
CAN	20101102-GEN	SOE	2266

2. Is the state considering converting all data from state, county and municipal reporting systems into a single, centralized system or a distributed system? If neither, please provide some additional context for the desired future state. **We would be open to any viable solution.**
3. Is state planning to host the solution in their data center or open to deploy the solution in secure cloud environment with Software-as-a-Service model? **We are open to a cloud environment.**

## Questions and Responses - 7

Can you provide details about the database from which campaign finance data is to be converted?

**We have this information for the Division of Elections but not for the Supervisors of Elections and Municipal Clerks.**

This would include information such as: table (file) descriptions, physical data attributes (ex. MB/GB of primary data types), and quantities of each type of data (ex. counts of registered committees, by type if possible, and counts of contributions, expenditures, distributions, and transfers).

**For the table schema refer to the document EFS\_MigrationSchema.txt. Since, the campaign treasurer reports would require migration of reports from the previous 2 years only, we will not be able to give you accurate data sizes. Below are some statistics:**

Table	Size (MB)	Total Count	Migration Count
Candidates and Committees	48.2	54,978	1,325
Treasurer Reports (since 1996)	41.5	166,705	25,037
Contributions	4,353	19,979,240	2,600,382
Expenditures	289	1,301,844	180,315
Other Distributions	23.7	106,334	30,783
Fund Transfers	.7	3,582	295

**Schema for Migration Questions  
Statewide Electronic Filing System (SEFS)**

**Candidate/Committee Table**

[ccAcctNum] [int]  
[ccType] [varchar](3)  
[ccSubType] [varchar](3)  
[ccName\_canBallot\_comFull] [varchar](100)  
[ccNameLast] [varchar](40)  
[ccNameFirst] [varchar](30)  
[ccNameMiddle] [varchar](20)  
[ccNameSuffix] [varchar](10)  
[ccTitle] [varchar](3)  
[ccSalutation] [varchar](3)  
[ccAddress1] [varchar](30)  
[ccAddress2] [varchar](30)  
[ccCity] [varchar](30)  
[ccState] [varchar](2)  
[ccZip] [varchar](9)  
[ccCounty] [varchar](3)  
[ccPhone1] [varchar](10)  
[ccPhone2] [varchar](10)  
[ccConfidentialID] [int]  
[ccAddr\_canSuppress\_comChrDiff] [varchar](1)  
[ccDate\_canAnnounce\_comApplic] [datetime]  
[ccDate\_canQualified\_comChrAppt] [datetime]  
[cc\_canOffice\_comPurpose] [varchar](3)  
[cc\_canIncumbent\_comCoChair] [varchar](1)  
[ccParty] [varchar](3)  
[ccStatus] [varchar](3)  
[ccStatusDate] [datetime]  
[ccLastRptDue] [varchar](7)  
[ccFileMethod] [varchar](3)  
[ccPIN] [varchar](4)  
[ccCreatedDate] [datetime]  
[ccCreatedBy] [varchar](12)  
[ccRevisedDate] [datetime]  
[ccRevisedBy] [varchar](12)  
[canElecID] [varchar](12)  
[canJuris1] [varchar](3)  
[canJuris1num] [varchar](3)  
[canJuris2] [varchar](3)  
[canJuris2num] [varchar](3)  
[canFP] [varchar](1)  
[canSP] [varchar](1)  
[canGE] [varchar](1)  
[canPetitionCode] [varchar](3)  
[canPetitionDate] [datetime]  
[canPublicFunding] [varchar](1)  
[canFinDiscFiled] [varchar](1)  
[canStmntCandidacyDate] [datetime]  
[canStmntCandidacy] [varchar](3)  
[canStmntIntent] [varchar](1)  
[canTermRptDueDate] [datetime]  
[canComoffAcct] [int]  
[canComoffBoard] [varchar](8)  
[canComoffXferDate] [datetime]

## Schema for Migration Questions Statewide Electronic Filing System (SEFS)

[canBallotOrder] [varchar](3)  
[canBallotJuris] [varchar](3)  
[canStmntJudicialConduct] [datetime]  
[comFECFedID] [varchar](12)  
[canBallotPosition] [smallint]  
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## Schema for Migration Questions Statewide Electronic Filing System (SEFS)

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## Schema for Migration Questions Statewide Electronic Filing System (SEFS)

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## Schema for Migration Questions Statewide Electronic Filing System (SEFS)

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# Elections you can count on



## **HP Enterprise Services' Response to Florida Department of State for Statewide Electronic Filing System (SEFS)**

**Solicitation Number: RFI-09-13-1**

**October 2013**

**Request for Information**



HP Enterprise Services  
13600 EDS Drive  
Herndon, VA 20171

October 25, 2013

Vonda Murray  
Purchasing Director  
R.A. Gray Building, Room 428  
500 S. Bronough Street  
Tallahassee, FL 32399-0250  
Vonda.murray@dos.myflorida.com

RE: RFI-09-13-1, Statewide Electronic Filing System (SEFS)

Dear Ms. Murray,

HP Enterprise Services, Inc. (HPES), is pleased to respond to the Florida Department of State's (DOS') Request for Information (RFI) for a Statewide Electronic Filing System (SEFS). HPES has been providing elections services to governments for more than 10 years. We have deployed voter registration and elections management solutions across more than 500 counties in 13 states for nearly 40 million voters. Our experience, in combination with our breadth and depth of capabilities, gives you the confidence that we will make a good partner for your solution.

As an industry leader in elections services, we can provide Florida with the following:

- A practice dedicated to elections services
- Seasoned IT professionals and former elections officials with many years of elections delivery experience supporting local, state, and Federal elections administrators
- Innovative, cost-effective solutions to increase the disclosure of political contributions and expenditures.

Our Campaign Finance Information System is a statewide, fully web-enabled solution that can be modified to meet Florida's filing and reporting requirements. In addition to our SEFS solution, HPES offers a full portfolio of services to address the State's requirements to migrate and integrate local campaign finance information.

If you have any questions or comments pertaining to this response, please contact me at:

HP Enterprise Services  
email: [patrick.mar.moore@hp.com](mailto:patrick.mar.moore@hp.com)  
Telephone: 404.353.5415

Sincerely,

A handwritten signature in black ink, appearing to read 'Patrick Moore', with a long horizontal flourish extending to the right.

Patrick Moore  
Client Sales Executive

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## Technical Response

### 1. What features does the election software offer?

#### Response:

An online campaign finance reporting and disclosure system makes certain that the public can access registration and financial information for any and all political committees registered within the State of Florida. Under the State's latest legislation, the system would become the repository for all elections filing officers throughout the State. This policy change provides increased transparency into campaign contributions and expenditures for Florida's citizens.

With this paradigm shift, the State needs a trusted partner to help implement the State's policy. With real-time reports generated from data entered by candidates, committees, and other organizations, the Florida Department of State (DOS) will be able to provide complete transparency to the public and media, while facilitating compliance with applicable laws and regulations.

The Campaign Finance Information System (CFIS) from HPES is a user-friendly reporting and disclosure solution that can be securely accessed by administrators and authorized fundraising committee members, as well as the general public and the media to access candidate campaign information. Our modern, browser-based solution will provide instant access to campaign finance data and eliminate the need for data re-entry by election administrators.

HPES developed CFIS with these requirements in mind—new laws, increased demands for transparency from the public and media, and ease of use. CFIS meets the requirements of citizens and elections officials with a web solution for researching and managing candidate and committee contributions and expenditures with three customizable modules:

1. **Public Module** – An open-access website for public search and robust reporting capabilities. Open access provides the media and the public with immediate and clear access to each candidate's and committee's reports, which increases the public's awareness of political contributions and expenditures.
2. **Filing Module** – A secure website, accessed only with the appropriate credentials, providing the ability to file campaign receipts and expenditures. With online filing, candidates and committees are able to use our toolkits to speed and lower their costs to comply.
3. **Administration Module** – Allows elections officials to manage candidate and committee applications, efficiently review compliance with reporting and disclosure laws, maintain secure access through user roles and credential management, and update reporting deadlines.

The CFIS application design provides the following features:

- Online candidate and committee registration
- Ability to accommodate digitized signature(s)
- Statutory contribution limit flags
- Online reporting of all receipts and expenditures
- Public access to all campaign finance information
- Numerous committee report capabilities
- A scalable, flexible, and customizable solution that allows implementation of new law changes easily in the solution
- Solution built using the latest .Net technologies, like Model View Presenter and Windows Communication Foundation
- A wide range of public reports, including statistics on maps, graphs, and charts
- User-friendliness with online help



- Built-in Message Center to generate electronic correspondence to candidates and committee treasurers, including bulk email functionality.

With CFIS you can achieve the results that matter most to the public. It is customizable to a variety of election management software solutions and election reform statutes, provides visual warnings if transactions do not meet applicable State laws, and provides standard and customizable reports for analyzing data.

Our CFIS product covers campaign finance disclosure and administration from A to Z—Account Activation through to Zero Balance (account closure). Within our product, we have incorporated graphical tools to quickly display political contributions and expenditures on maps, graphs, and charts. These tools provide instant feedback for the public on where candidates and committees receive and spend their campaign funds.

Our products are supported by a fault-tolerant, scalable, and secure architecture with proven global best practices for application and infrastructure management. Our solution can be hosted on a traditional IT platform (managed by the State or outsourced), or it can also be hosted within a cloud, offering immediate flexibility and scalability.

Our CFIS product also comes with a full set of technical and functional documentation, including system architecture and design, a Data Dictionary, an Entity Relationship Diagram, a System Administration Manual, Training Manuals, User Guides (Administration, Filer, and Public), and more. With a full library the Florida DOS and local elections administrators will have the tools and training to support a comprehensive campaign finance and disclosure system.

With our CFIS product, HPES provides full application customization and deployment services, including data conversion, functional and technical analysis, project management services, hosting, network support, help desk, on-site and remote training, and user support and documentation.

## 2. What is the typical timeline for the development of the required product?

### Response:

HPES provides “turn-key” services, products, and a wide menu of support services. Our services span the complete Software Development Life Cycle (SDLC) starting with requirements analysis and system design, through software development, data conversion services, and implementation services, including training, documentation, mentoring and change management services, as well as post implementation support services. In addition, our CFIS solution implementations include hardware and software procurement, data center setup, and hosting services.

Our solution typically meets 50% to 70% of out-of-the-box customer requirements. The deployment plan includes requirements-gathering, gap analysis, and customizing the product based on the outcomes and needs for the Florida DOS. The services provided will drive the cost as well as the timeline for implementation. The average timeline is typically between 9 months and 12 months, depending on the level of services and required customization to our CFIS solution.



It is critical to choose the right commercial off-the-shelf (COTS) solution that can be easily customized and have features like system parameters that can minimize customization effort and cost. Such features also help throughout the life of the solution because they allow end users to make certain changes through parameters, allowing the Florida DOS to minimize costly application code changes. As the DOS considers implementing a new campaign finance system you will need to consider several factors that will contribute to defining the deployment timeline. Many factors impact the time required to implement a solution including, but not limited to, the following:

- Volume of campaign finance filers anticipated to use the new system
- Volume of data to be converted into the Statewide Electronic Filing System (SEFS) from local filing entities and the number of different data sources from which data will be converted to SEFS
- Quantity and requirements for data integration with other systems (for example, statewide voter registration system and large county campaign finance reporting solutions)
- Hosting preferences (traditional IT in house, Cloud, and so forth)
- Option for online candidate filing and making online payments
- External factors contributing to or potentially impacting the implementation timeline (for example, statewide or local elections and legal compliance deadlines).

We have implemented our solution in a 12-month period, but we welcome the opportunity to discuss with the State the factors that could impact the schedule.

### 3. What is the *estimated* licensing and maintenance fees for state, county and municipal filing officers?

#### Response:

HPES can provide options for licensing in various forms, including enterprise licensing, seat licensing, Software-as-a-Service, and so forth, depending on the options that best meet Florida DOS' needs. Fees are dependent on numerous factors, which we would be pleased to discuss in more detail with the DOS.

### 4. What is the *estimated* data migration fee for state, county and municipal data?

#### Response:

Data migration and integration services are highly dependent on defining the scope of data to be converted or linked and contract terms and conditions. Knowing that the end solution will result in migration and integration of legacy State data combined with 410 municipalities and 67 counties, the effort could be significantly reduced by agreeing on a single file structure for conversion.

Data migration and conversion for system implementation projects are complex and require a thorough understanding of data transformation best practices and significant knowledge of the source and target system functionality. The primary goal of HPES' data conversion is to convert all of the source data to the target system accurately so that the target system operates with clean data upon implementation. Our data conversion process is summarized in seven broad steps:

1. **Data Discovery** – The Data Discovery Phase consists of understanding the existing “baseline” or “as-is” environment across SEFS, municipal, and county systems. This critical—yet often underestimated—initial step is the effort involved with discovering, documenting, and analyzing baseline data sources with the help from subject matter experts for the source data.
2. **Data Mapping** – The Data Mapping Phase consists of determining how field-level data corresponds to data within the target CFIS application. Traditional mapping efforts rely heavily on the availability of subject matter experts, well-documented systems, and the human cognitive skills of the individual



performing the mapping to identify where field-pair relationships exist. The result is a lengthy, laborious, error-prone, and costly mapping exercise. HPES leverages automated technology, when possible, to accelerate this process and improve the quality, time, and cost metrics.

3. **Extract, Transform, Load** – During the Extract, Transform, Load (ETL) Phase, the mappings, which were completed during the Data Mapping Phase, are used to design and construct the ETL objects and organize them into processes that allow the data to move from the source to the target staging area. During this phase, the necessary data cleansing and data transformation steps (data manipulation; formatting; cleansing; and, if necessary, parsing) are designed and implemented. Also, basic testing of the ETL transformations is performed to facilitate the correctness of the data flow and integrity of the data. During this phase, ETL tools are configured so that the data migration from the source system to the target staging area is scheduled, performed, and monitored.
4. **Internal Testing** – Initially, the testing of the logical data units are performed to facilitate the accuracy of the source to target flow, the data formatting and transformation functions, and data integrity testing. This phase also makes certain that there is correspondence of associations of data units between the source system and the target staging system. During this time, possible anomalies of the source data are further explored and documented. Recommendations are made that help remedy the problems found in the source data that negatively impact the data movement and consolidation process. In addition, code value mappings from the source applications to CFIS values are validated for completeness and accuracy. Correctness and the fault rate of coded values matching and resolution are also performed. The performance of the overall data movement process form is measured and tuned during this phase.
5. **Data Load and External Testing** – During this phase, the data is loaded from the source system into the CFIS database. Initially, the data is loaded into the target staging area, which has a structure similar to the SEFS database's structure. At this point, the data from each individual source system is properly formatted and cleansed so that it is ready for the target. Then, from the staging areas, the data is merged into a pre-production database, where the data from the various source systems is compared and steps to resolve conflicting data and duplicates are taken. Necessary calculations are performed to produce reconciliation values for contributions, expenditures, and other key data elements.

External testing includes checking the incoming new data for correctness and making certain that the data is loaded correctly into the CFIS database. CFIS is tested to see if the users can access the CFIS database and data correctly. Once again, anomalies of the source data are explored and documented, and then recommendations are made that help remedy any problems that remain. Stakeholders from each group involved with the data from a particular source will review the data within the CFIS system and compare it with portions of the original data source to facilitate proper data flow and integration. Feedback from the Data Load and External Testing Phase combined with feedback from the reconciliation is used to make any final adjustments to the data flow before final cutover. After the data from the pre-production area is analyzed and its correctness has been approved, it is moved to the production database.

6. **Production Run** – HPES completes development of the code needed to correct any issues discovered in the external testing review. No conversion changes are made after this phase.
7. **Go-Live Conversion Run** – On the scheduled date the data conversion is run into the final CFIS database.

HPES has successfully delivered data migration services to multiple government entities in more than a dozen states across various business verticals, such as Motor Vehicles, Elections, Unemployment, Retirement, and Public Health. In addition, we have significant experience and expertise in voter registration, election management, campaign finance, and candidate filing domains that are extremely relevant to the sources and targets used in this project. Our experience covers a wide array of source



systems. Our past customers will gladly testify to our willingness to go the extra mile to provide business continuity throughout a transition process that we recognize as difficult and challenging.

Our proven processes and substantial experience with data migration, elections, and campaign finance will significantly reduce any risk associated with data discovery challenges and will result in overall reduction in effort and cost savings for the SEFS replacement initiative without compromising quality.

**5. What is the *estimated* fee for customizing the software so it complies with Florida laws and rules?**

**Response:**

HPES can provide customization services either under firm fixed price or time and material contracts. Since various factors affect the cost, we would like the opportunity to further discuss Florida DOS requirements to provide an accurate cost estimate.

**Vendor Contact Information.** The response must include the vendor contact information below listing the specific person(s) who are responsible for preparing the vendor's response. Each vendor should designate a specific contact person who will be responsible for responding to the Department if any clarifications of the vendor's response should become necessary.

Vendor Name:	<u>HP Enterprise Services, LLC</u>	
Address:	<u>13600 EDS Drive, Herndon, VA 20171</u>	
Prepared By:	<u>Michael Boyd</u>	Title: <u>Elections Practice Leader</u>
	<u>Snehal Pandya</u>	Title: <u>Elections Technical Manager</u>
Contact Person:	<u>Patrick Moore</u>	Title: <u>Client Sales Executive</u>
Phone Number:	<u>404.353.5415</u>	FAX: <u>N/A</u>
E-mail Address:	<u>patrick.mar.moore@hp.com</u>	







## Response to Request for Information For Statewide Electronic Filing System (SEFS)

Prepared for:  
Florida Department of State  
R.A. Gray Building, Room 428  
500 S. Bronough Street  
Tallahassee, FL 32399-0250

Submitted on October 25, 2013

*Please direct inquiries to:*

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Sr. Business Development Manager  
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**northeast:** 455 Veit Rd, Huntingdon Valley, PA 19006 [p] 215/364-3320 [f] 215/364-4990



October 25, 2013

Vonda Murray  
Purchasing Director  
R.A. Gray Building, Room 428  
500 S. Bronough Street  
Tallahassee, FL 32399-0250

Dear Ms. Murray:

Image API is pleased to submit the following response to your request for information regarding a potential Statewide Electronic Filing System (SEFS).

Image API has developed similar self-service systems and has the proven products and expertise required to develop and support the SEFS when the Department of State moves forward on this initiative.

If you have any questions regarding our response or about any alternative options we can provide, please feel free to contact me at your convenience. We look forward to serving your best interests in this project.

Sincerely,

A handwritten signature in black ink that reads 'Darrell Wilson'.

Darrell Wilson  
Sr. Business Development Manager  
2002 Old St. Augustine Rd., Bldg. D  
Tallahassee, FL 32301

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# EXECUTIVE SUMMARY

Image API is pleased to provide this response to the Department's Request for Information (RFI) for a Statewide Electronic Filing System (SEFS). Image API has a strong track record in providing solutions with similar functional requirements to government agencies. We have done this utilizing a proven application framework that leverages existing capabilities and products to provide much of the functional capabilities required by the SEFS.

A major component of our application framework is a secure web portal that supports all communities of interest including filers, filing officers and their associated staffs, administrators and the general public. This web portal provides secure access while applying business rules to facilitate processing in the online, paperless environment as envisioned by the SEFS RFI. Our approach to SEFS fully supports a paperless environment but can also accommodate other means should the need arise. This "no wrong door for entrance" approach has been highly successful in other applications with similar functional requirements.

Another major component of our application framework is Image API's AXIOM Pro (formerly iCenter). AXIOM Pro provides a robust enterprise content management (ECM) system supported by rules engines and workflow to provide automated processing of online forms and electronic file submissions. This environment provides significant process efficiencies, minimizes interactions between filers and filing officer organizations, and improves the accuracy and quality of data submitted. Perhaps more importantly, AXIOM Pro's repository provides ready access to SEFS information by the public, filing officers, and other interested parties in a secure, role-based manner. Finally, AXIOM Pro's integration capabilities to external databases and applications along with a built-in reporting capability greatly reduce the custom development effort while providing a flexible reporting/processing environment. Email notifications and filer account management are also fully supported by AXIOM Pro.

AXIOM Pro's repository is organized around a "catalog" concept. This provides flexibility in design to optimize access and reporting while simplifying security via AXIOM Pro's role-based security.

Image API's SEFS solution is supported as a cloud-based SaaS offering but can be deployed as an on-premise offering should that be desired. Regardless of which option is selected, our solution is fully supported by an annual maintenance fee that provides help desk support (level 1/triage to be supplied by the customer), software support as well as infrastructure and infrastructure support (SaaS model only).

In summary, Image API's SEFS solution will leverage a proven application framework with leading edge products and capabilities and will provide support for all identified functionalities. Our credentials for delivering similar projects, including projects for State of Florida agencies, are exceptional. We look forward to working with the Department on this most important initiative.

# RESPONSES TO RFI

## 1. What features does the election software offer?

Image API will utilize an application framework we developed that provides the structural components required to support the Statewide Electronic Filing System (SEFS). This application framework has been utilized to support numerous other applications that require similar functionality to the SEFS. The primary components of our application framework and the functionality provided are discussed below.

### *Secure Web Portal*

Our solution provides a secure “intelligent” web portal that will serve as the front end viewer/input mechanism for the filer community. As such, the secure web portal is the primary vehicle for delivering the data the State requires for filer registration as well as the data related to statutorily required reports. The web portal will enable filers to complete the registration and renewal processes online using a library of digital forms that will be custom created to meet SEFS requirements. The forms will include intelligence designed into them to ensure accuracy and completeness, thereby, reducing the need for manual processing workloads. The electronic documents and their related data will be stored in Image API’s Enterprise Content Management (ECM) System, AXIOM Pro (formerly iCenter).

### *Access and Security*

The secure web portal provides security through both the system architecture and user logins and is built on a Windows Communication Foundation (WCF) platform. Our system architecture contains multiple layers of functionality, described below:

#### Client Layer

Client login and password will be encrypted at the browser and passed to the Web Server, and is accessed through Secure Socket Layer (SSL) encryption. Each user account is assigned roles and permissions based on their business activity and security level.

#### Web Layer

This layer contains the Web Server. In the case of a public facing system the web server would reside in the DMZ of the Department’s network. The web server receives encrypted login requests and passes them to the application for validation and decryption. The Portal’s web server makes calls to the Application server securely through a single secured port.

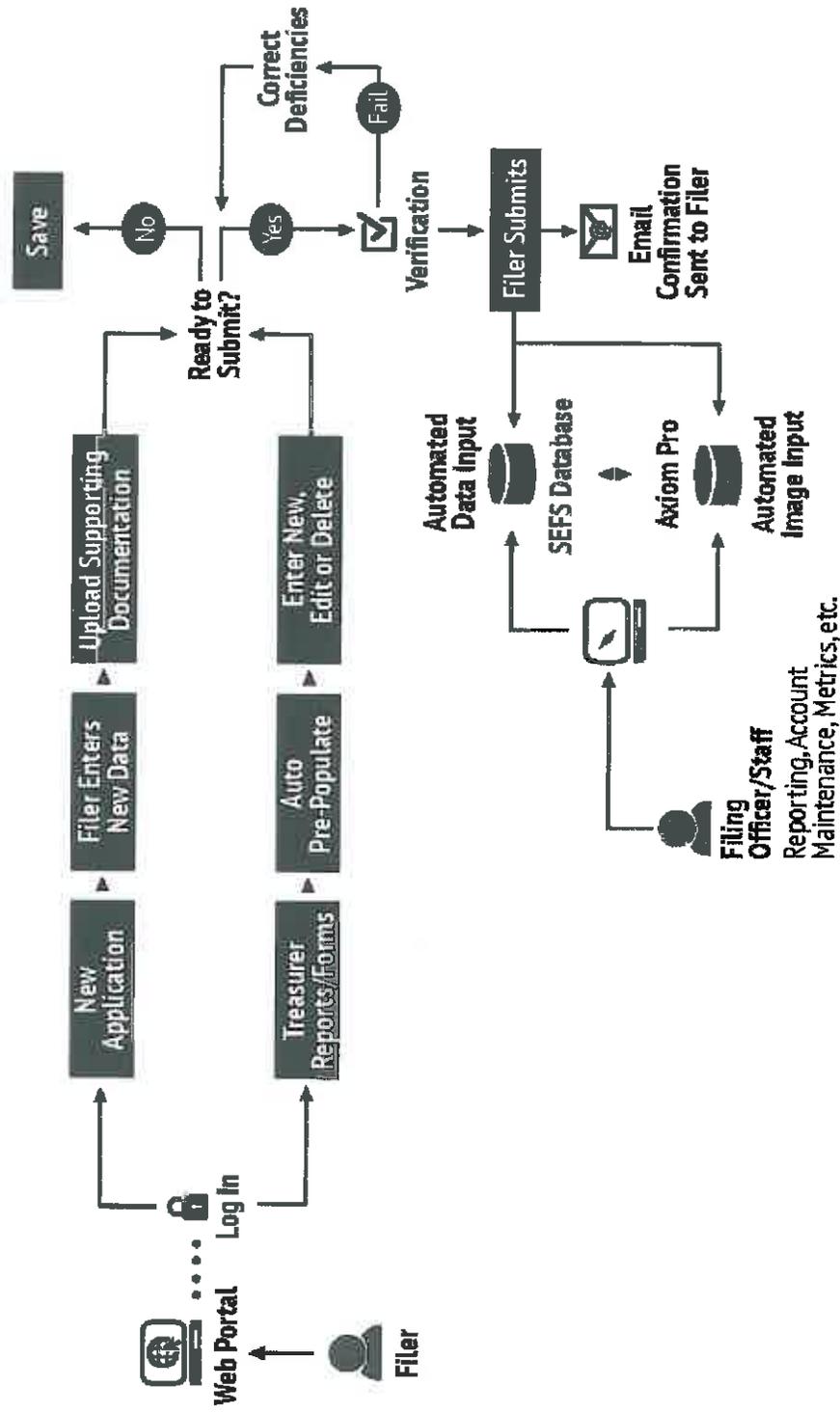
### Business (Application) Layer

This layer contains the Secure Web Portal server which performs all of the business tasks. The Application server will reside on a secure network behind a secure firewall with an equally secure connection to SEFS and other potential databases. Document and image storage also reside in the business layer safely behind the firewall.

### Data Store (Database) Layer

This layer contains the database server. The web portal database is secured and a single program login is provided for data access. User login data is stored as hashed or encrypted values within the database to prevent passwords from being derived from table data. Outside data sources, such as SEFS data extracts, will be automatically imported into this database using Secure File Transfer Protocol (SFTP) and SQL Server Integration Services (SSIS) tasks.

# Preliminary Web Portal Workflow Design



## AXIOM Pro – Enterprise Content Management

AXIOM Pro is a flexible, adaptable .NET platform product developed and supported by Image API. The system can be deployed economically as a standalone content management system, scaled to an enterprise solution, or integrated with legacy systems or databases as a component supporting the mission-specific software applications and processes behind government modernization projects.

AXIOM Pro uses standard Windows protocols for security and user authentication. AXIOM Pro also employs extensive administrator controls over user roles and permissions to further ensure the security and confidentiality of digital documents and data.

AXIOM Pro is scalable, feature-rich, fully configurable, and easy to use. AXIOM Pro infrastructure layers allow for Multiple points of scalability:

- AXIOM Pro Web Server scales to allow for provisioned and concurrent users.
- Threaded Application processes to handle multiple business requests without performance loss.
- Scalable Data Store for increased document/page counts and index data.

Because AXIOM Pro was developed specifically for the government sector, the system provides a wide range of configurations for capturing, storing, sharing, integrating, and processing documents. The system is offered in a base configuration with optional modules designed to add functionality. The modular design allows our government clients to add capabilities as needed.

### *AXIOM Pro Layers*

The AXIOM Pro enterprise layers are comprised of a Database Server (AXIOM Pro Data Store Layer), Application Server (AXIOM Pro Business Layer), and a Web Server (AXIOM Pro Web Layer). If extensive scalability is a requirement for a client, the Application Server and the Web Server components can be installed on multiple systems all sharing the same Database Server.

AXIOM Pro is deployed using a standard three tier architecture that consists of a data tier, an application tier, and a presentation tier. Each tier serves a different role and can be logically and physically separated from one another. Another piece, though not a major tier, is the image store that houses the physical images and files. This model is used because it offers great flexibility, reusability, robustness, scalability, and maintainability.

## *AXIOM Pro Functionality*

Online forms with built-in intelligence will be available to filers to support their applications and other required submissions. The built-in intelligence will provide validation checks against entered data while access to the SEFS database will be leveraged to reduce filer data entry while improving overall accuracy. Once forms have been completed an automated workflow employing business rules will be utilized to improve turnaround and accuracy. Email notifications will be sent directly to filers from AXIOM Pro through the web portal to ensure that the application is fully and accurately completed before documents are uploaded for processing.

Once an online document has been completed, a PDF document will be automatically generated. This PDF document will be automatically indexed and stored into AXIOM Pro's repository—our enterprise content management system (ECM). While the specific organizational structure of the repository has yet to be determined, it is important to note that the repository is organized around the concept of catalogs. AXIOM Pro's catalogs allow documents to be organized around common threads. For example, a catalog might contain all documents associated with a filing officer, or PACs, or a statewide office, etc. The catalog structure will be designed to optimize and facilitate reporting and access.

Role-based security is utilized by AXIOM Pro to define what documents/data any user is allowed to access. For example, a filing officer may be restricted to only those records that are within their purview. Similarly, the public will be restricted to public information only and filers can be restricted to that information that applies to them alone. Finally, documents can be retrieved, assuming proper security, using any combination of data fields that were applied as indices to that document.

Data will be automatically extracted from the completed digital forms and entered into the SEFS database leveraging AXIOM Pro's rich capability to integrate with external applications and databases. This will dramatically reduce the workload associated with populating/updating the SEFS database. Email notifications to the filers will be used to provide information regarding document status and to inform filers of any required actions. This capability will substantially reduce the need for filer interactions with filing officers and/or administrative staff resulting in significant improvements in efficiencies and effectiveness. Rules engines will be utilized to enforce business rules associated with document processing and workflow will be used to support all necessary reviews and/or approvals.

These are just a few of the benefits Image API's technology, configured for your requirements, will deliver via our web portal and AXIOM Pro software.

As previously stated, an important component of our proposed solution is the intelligence that is built into our solution. Our application framework leverages business rule engines to support automated processing. These engines enable us to use a set of business rules to automatically conduct a task that is typically performed

by staff or filers. One business engine will provide the ability to pre-populate data/fields on the new digital applications, renewals, and other forms that require information that is already available through the SEFS database or other available databases. This automation eliminates the need for filers to manually enter this information repeatedly thus reducing their work and improving accuracy. Other engines will enable password recovery and resets, check to ensure all fields are completed before the form can be submitted, and provide the ability to complete part of the form, save it, and come back later to complete it. Another business rule will enable the solution to automate the extraction of data from the submitted forms to auto-populate the SEFS database which virtually eliminates any staff data entry requirements. These are just a few of the automation enhancements we will build into our application framework.

AXIOM Pro provides interfaces to external applications and databases. These interfaces enable uploading of any support documents as well as the uploading of data files to the SEFS database. Uploading digitized support materials can be incorporated in the solution via our portal to modernize and streamline the filer application process and to eliminate staff time spent on low-value, labor-intensive processes such as ensuring application completeness and accuracy.

## Digital Forms Support

Image API's automated, self-service SEFS solution will employ exception-based processing in order to reduce the need for staff to contact filers whose documents require corrections/modifications.

The new SEFS solution will:

- Establish a self-service model that reduces the work filers *and* filing officers and their staff must manually complete to both license *and* regulate;
- Provide state-of-the-art tools to increase staff productivity;
- Implement exception-based processing to allow the staff to focus on the fewest and highest value tasks by dramatically reducing or eliminating low value work;
- Improve service levels by shortening the time required to process an application or other required submissions; and
- Improve visibility into the process for management in order to reduce time-consuming communication and providing metrics to measure improvements.

The automated solution will incorporate the following systematic approach:

- Business rules to enable forms processing at machine speed;
- Data validation on each individual field requirement, mitigating risk by eliminating the need for a human to validate that each data field is present and accurate;

- Automation for renewal processing;
  - Automated notifications to the filers of completed applications;
  - Automated reminder notifications regarding renewals and other actions;
  - Data pre-population from the SEFS database as filers complete renewal applications or other required submissions;
- Forms with errors and missing information will be handled as exceptions to keep from slowing down the process;
- Forms completed properly are approved in a fraction of the time it currently takes; and
- Functionality to support the upload of supporting documents.

The exception-based model and best use of automation technology will produce productivity gains as outlined above while providing a very positive impact on the filers and staff.

## Exception-Based Processing

Exception-based processing is based on the premise that only a portion of the inbound documents require a human to review the information if the rule engines are automatically conducting the task. The value of exception-based processing lies in the significant reduction or elimination of low-value, labor-intensive, work. These labor-intensive processes include checks for:

- Filer application or other required submission accuracy and completeness;
- Missing or additional information required; and
- Correct fee amount and valid fee payment vehicle (assuming fees are involved).

Image API's solution will automate the business rules that enable exception-based processing. With our business rules engine inserted into the workflow process, rule-based processes and mechanisms will perform these time-consuming tasks at machine speed using technology that supports:

- Identification of properly completed forms and those with errors;
- Exception routing via workflow to a centralized queue; and
- Completed applications routed via workflow to staff for expedited processing.

Most preliminary and some advanced screening processes will be validated automatically, allowing staff to concentrate on applications or other required submissions that are completed and ready to be processed. In addition, efficiencies will be recognized due to the reduction and/or elimination of manual data entry work. With digital applications and other required forms, specific and pertinent information can now be extracted from the digital form automatically and imported directly into SEFS with no staff intervention. Accuracy of data being imported into SEFS is paramount, and the automated processing component of our solution will allow the data extracted from digital forms to be validated against external databases to increase accuracy, efficiency, and effectiveness.

- Standard support documents can be added to the digital library for filers to complete online or download and complete;
- Scanned images incorporate automated post-processing and quality control (QC) stages to assure required specifications and industry standards for image quality are met;
- Edit mode error checking for incompletes or errors prior to uploading data to SEFS;
- Automated alerts to both filers and filing officers' staffs when applications are completed, submitted and ready for assignment and processing;
- A subcomponent in the ECM system, integration of the automated on-boarding functionality, will enable new tasks or documents to also be routed via workflow to Department staff members for action; and
- Automated routing of both properly completed forms and exceptions to work queues.

In addition to the above, additional ECM functionality includes:

1. An outline form Status Report that lists required documents and current receipt status; and
2. A scalable range of notifications or alerts that can be adjusted to keep processes moving as the Department's business practices evolve over time.

Automated on-boarding will transform filer document/form processing into a fully digital environment. Filers will gain benefits by having documents available via the web portal library and the ability to submit all standard forms via the web portal. Filing officers' staff will now have virtually everything accessible from their desktop. Work will be routed directly to work queues establishing priorities and improving the forms processing function as a whole. Management will gain report tools to manage task queues, as well as staff, with real time data.

In summary, automated filer application and other required forms processing will dramatically reduce processing time while also improving overall effectiveness.

## Automated Payment Processing

Establishing online payment capabilities for credit cards, debit cards, and electronic check processing through the web portal adds further efficiency to the Department and greater convenience to filers. The three primary components required for this capability are: our web site, a payment transaction location within the website, and a merchant account with a credit card processing company.

We will configure the secure web portal to include a transaction location (page) incorporated into the workflow of applying or renewing licenses. Image API has a

merchant account with Bank of America for credit card processing services and can use their services or the services of any other company approved by the Department.

The secure web portal will pass all credit card information entered by filers securely to the credit card processing company. Credit card processing companies ensure security by abiding by industry data security standards and tools that cover the spectrum of hardware and software technologies and protocols used to accept and process online payments including:

- Secure Networks,
- Protection of stored cardholder data,
- Encryption technology,
- Strong access control measures restricting access to card ID/data,
- Regular monitoring and testing, and
- Proven information security policies.

If required, we can store partial information for validation purposes. The capture of only partial data helps maintain security requirements.

## 2. What is the typical timeline for the development of the required product?

The timeline for development and implementation is driven by specific requirements that are not yet known making it very difficult to develop an accurate timeline for this particular project. However, projects with similar functionality have been completed in a window of 6 to 18 months.

## 3. What is the estimated licensing and maintenance fees for state, county and municipal filing officers?

Image API's solution is web-based. As such, there are no direct licensing fees associated with local agencies. This architectural approach provides a multi-function web portal that serves the needs of the public, filers, filing officers and system administrators. Annual maintenance fees can be estimated at 20 percent of the overall project cost. Licensing fees are largely determined by configuration driven variables. These variables have not yet been determined; however, it is reasonable to expect a one-time license fee in the range of \$200,000 to \$500,000.

#### 4. What is the estimated data migration fee for state, county and municipal data?

Additional information is required in order to provide an estimate of data migration fees. It should be noted, however, that migration services will be based upon the level of effort priced at existing State of Florida IT Consulting Services Contract published rates.

#### 5. What is the estimated fee for customizing the software so it complies with Florida laws and rules?

Modifications that are required in order to maintain compliance with Florida laws are typically, but not always, included as a component of the annual maintenance fee. This is dependent upon the nature and scope of the modifications required.

## Attachments:

Attachment A – AXIOM Pro

Attachment B – LicenseManager

Attachment C – eScanner



Modular, scalable, cloud-based enterprise content management system with a user-friendly interface

## + Benefits

- + Cloud-based solution speeds deployment & reduces costs
- + Intuitive user interface means less time training
- + Secure data encryption, including images & documents
- + Scalable to support thousands of users & millions of documents
- + Easily handles large workloads & automated workflows
- + Customize & scale only necessary features
- + Secure, web-based access to view or upload documents from anywhere
- + Logs all events in the system for auditing & user reports
- + Supports document-centric workflow for processing & approvals
- + Multiple user-friendly intake channels (email, scan, upload, fax, mobile & more)
- + Create overlay notes & side notes; search notes
- + Easily integrates with line of business applications or disparate databases (Oracle, SQL, DB2, etc)

## + Key Features

### Front-End

- Stringent System & User Security**  
Secure batches, folders, documents & fields
- Add, Search, Review & Modify Documents**  
Drag & drop documents from desktop into browser or pages to append documents
- Foldering**  
Organize document pages into folders from a mix of documents: copy & paste enabled, without altering original document; includes folder templates & easy hierarchy reordering; simplifies public records requests & legal discovery
- Email Integration**  
Emails can be monitored so that attachments can be automatically uploaded

### Workflow Management

- Automatic Document Process Routing**  
Documents move through customized workflow path for action or approval; ability to mirror established processes; automatically account for holidays & shift work
- Automatic Email Notifications**
- Monitor & Modify Workflow Progress**  
Monitor current status & document progression
- Supports Retention Requirements**  
Configure timeline to automatically purge data
- Versioning**  
Version control capabilities with document check-in/out

### Additional Features

- Integrates with Legacy Systems
- Automates Business Rules
- Customized Dashboard
- Retention Policy Management
- OCR Services
- PDF Conversion
- Public Records Management
- Auto Redaction Services
- Full Chain of Custody
- Multiple Intake Channels: Web, Fax, Scan, Mail, Data, Mobile (No Wrong Door)

## + How it Works

Axiom Pro is a flexible, adaptable .NET platform developed and supported by Image API to optimize the capture, storage and use of digital information. The system deploys economically as a standalone content management system, as an enterprise solution or as an integrated component supporting mission-specific software and processes.





From license application to final approval, end-to-end workflow automation & online citizen self-service

## + Benefits

- + Streamlines licensing workflow from application to final approval
- + Automated routing expedites processing, reduces delays
- + Online processing eliminates paper-based review
- + Exception-based processing triggers denials & notifications
- + Multiple user-friendly intake channels (web, mobile, email, scan, fax, mail & more)
- + Web portal enables citizen self-service
- + Secure data encryption safeguards private data
- + Easily integrates with line of business systems (i.e. GIS, ERP, CRM)

## + Key Features



### Automated Workflow

Applications move through workflow path for action, approval, amendment or rejection; mirror established workflow; notify reviewers of new items for approval

### Verification

Automatic & instant verification of applicant data based on business rules

### Notification

Print or email licenses, deficiency or approval letters, certificates, change of status, letters, reports or renewal cards; also can be generated based on status changes

### Track and Monitor

Track case for status changes & approval; to monitor compliance & status progression; supports enforcement business processes



### Web Portal

Applicant completes online application & uploads supporting documentation; applicant can login to check status, register for CE units or renew

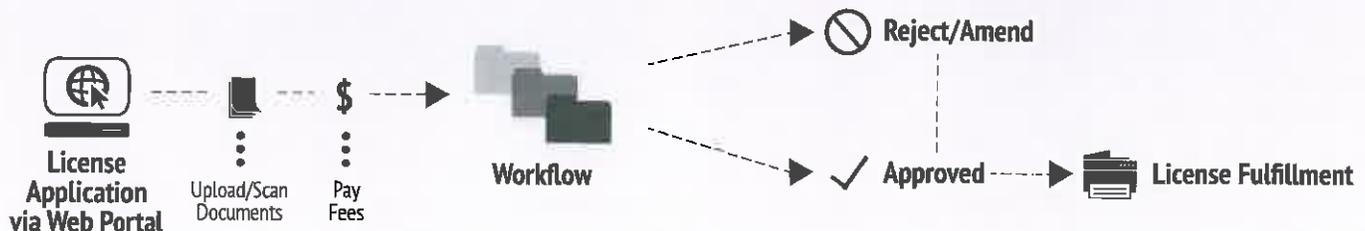


### Mobile

Access the application from mobile devices & opt to receive email notifications for status updates

## + How it Works

LicenseManager provides government agencies with an end-to-end solution that automates licensing processes, resulting in improved efficiency, accuracy, security, accessibility, compliance and public safety. Customers can **apply for or renew a license, upload documentation** (i.e. course certification), **register for continuing education or pay licensing fees** online. The system can **track certifications & continuing education hours, schedule investigations, track & monitor compliance**, and even **print or email licenses & notices**. This automated process improvement solution boasts outcomes much bigger than just satisfied customers - in fact, we have transformed two-week processing times into two-day success stories. That's what we call being productive.





Browser-based electronic document imaging system which loads images directly into a cloud-based repository

## + Benefits

- Meets stringent HIPAA compliance standards
- Eliminates costly, unsecured & non-compliant faxing
- Safeguards privacy with robust security protocols
- Web-based solution captures documents where they originate
- Easy, low-cost deployment with no software installation required
- Supports unlimited number of users, devices & portal interfaces
- Self-indexing by user reduces costly, time-consuming data entry
- Integrates with enterprise content management systems
- Speeds delivery of documents into line-of-business applications
- Secure, multi-user access to document images in the cloud

## + Key Features



### Highly Secure & Privacy Standards Compliant

No data or images are stored on local disk (thin client); meets strict privacy regulations, such as HIPAA & PPACA; document images are only accessed through a secure link



### Efficient Document Review & No Manual Deletion

Document images are displayed immediately in web browser, eliminating time spent browsing for scanned images; no manual removal of images or data required



### Fax Replacement System

Eliminate security breaches with private information and reduce cost by moving to paperless record keeping



### Centralized & Distributive Scanning Enabled

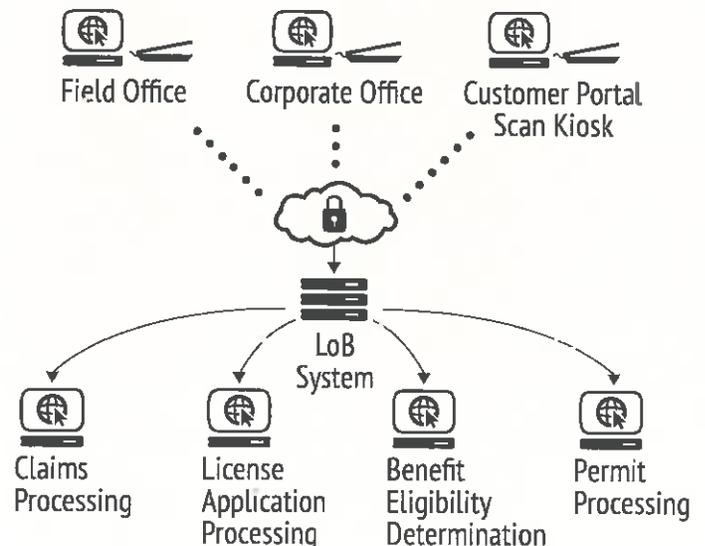
Scan from a centralized scanner & send secure link or image to location of choice or use distributive scanning in online self-service processes to enable upload of document images utilizing personal scanning equipment

## + How it Works

It's the power to securely scan straight to the cloud, without cumbersome software or local disk storage requirements.

Users launch a web browser to initiate scanning equipment & scan documents from where they originate with centralized or distributive scanning capabilities. This web-based system integrates easily with line of business systems & enables customers to scan documents from customer kiosks or personal computers. Once document images are in the cloud, permitted users can access & share document links.

No more browsing for scanned images, no more unsecure emailing or faxing of sensitive customer information. Experience the efficiency & accuracy of going paperless.







**FLORIDA DEPARTMENT OF STATE**

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STATEWIDE ELECTRONIC FILING SYSTEM (SEFS) SOLUTION

***ISC REPLY TO REQUEST FOR  
INFORMATION***

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# TRANSMITTAL LETTER



2932 Wellington Cir  
Tallahassee, FL 32309

Florida Department of State  
Tallahassee, Florida

Department of State Stakeholders:

ISC will develop and deploy a full featured Statewide Electronic Filing System and cooperate with the Department as well as municipal officials throughout the state. We will operate the system in a secured cloud environment, Microsoft Windows Azure, and provide terms by which its operation can be transferred to the Department if necessary. We would negotiate a per filing fee that would be charged to the filers if possible. Otherwise the fee could be paid per filing organization, or by the state. Based on the information I have, I think a filing fee under \$10 is fair and would make this venture worthwhile for my company.

Our reputation as a solution provider for State of Florida agencies is extremely good, we are in an excellent financial position, and we have the resources to deliver this solution rapidly. The system we envision would be state of the art using the latest and most reliable and proven technologies.

In lieu of the approach we can also build this system on a fixed price deliverable basis, or on an hourly basis, using the State Term IT Services contract.

Please keep us in mind as you consider the alternatives.

Thank you,

A handwritten signature in black ink that reads "Mark Alexander". The signature is fluid and cursive, with the first name "Mark" being more prominent than the last name "Alexander".

Mark Alexander

Managing Partner, ISC

# EXECUTIVE SUMMARY

**Florida Campaign eFile** is an application hosted in the cloud using Microsoft's Windows Azure technologies. This allows the system to scale automatically to remain responsive during periods of peak traffic.

Taking advantage of the Software as a Service (SaaS) model, the Florida Department of State would have *little or no up front costs*. Instead a small fee would be collected for each campaign filing.

Duly authorized and validated "filing officers" have administrative access to manage appropriate settings for filers in their jurisdiction.

Filers have several ways to submit their report data, including:

- Online web form
- ASCII text files per [Rule 1S-2.017](#)
- XML files (optional feature) which can automatically be converted to the above text format.

# RESPONDENT'S QUALIFICATIONS AND EXPERIENCE

## CORPORATE QUALIFICATIONS

### BACKGROUND

ISC is an information technology company established in 1990 and based in Tallahassee, Florida. ISC is a privately held company that is owned by three individuals who serve as principal partners and manage the company on a daily basis. ISC employs thirty four highly skilled professionals.

ISC provides information technology solutions to government agencies, educational institutions, and small and medium sized businesses. The company provides a wide range of products and services, from off the shelf software to IT staffing, and from custom application development to networking and email system management.

Many of our clients come to us for our in-depth understanding of the technologies and platforms we service, our highly experienced and qualified consultants and developers, and our unequivocal customer service.



Over more than twenty years, ISC has undertaken hundreds of information technology engagements with a wide array of customers. Our people have learned how to successfully manage many types of IT engagements, ensuring customer satisfaction being the number one goal. On any given day, ISC may have up to 40 active engagements with customers.

### PEOPLE

At ISC, our people set us apart. When new customers begin to work with us, they may be surprised by the level of experience and skill that our consultants bring with them to the job. The principals of the company reinforce the mantra of customer satisfaction every single day, and our people deliver on that promise.

ISC employs people like Steve Lane, an active member of the software developer community and .NET User Group in the Tallahassee area. He is currently assigned to projects at the Florida

Department of Agriculture and Consumer Services where they have this to say: “He’s smart. We can rely on him; we even bring him to meetings with the Commissioner.”

Edwin Lott, a principal in the company, is a former consultant with EDS as well a former CIO for a State of Florida agency. He is active in the community, supporting America’s Second Harvest of the Big Bend, a food bank serving children and seniors in need. He is also a driven and focused executive involved in the daily oversight of up to 15 IT projects at any one time.

#### RELATIONSHIP WITH FSU

Many of ISC’s employees are graduates of Florida State University. A number of us are members of Seminole Boosters and hold season tickets to FSU football or baseball games. John Viele, one of our skilled software development experts, is a respected member of the Animals of Section B that are known to be “the most well-respected, passionate, and unique fans in college baseball.” He brings that level of passion to his work, and customers notice. A recent email from a customer to John concluded: “Thanks for everything this week – as usual, you rock!”



Mark Alexander, a principal in the company, is a three time graduate of FSU with a Master of Science degree in Computer Science. He is an officer of the local mountain bike association and supports a steady stream of biking events in the Tallahassee area. Mr. Alexander manages a number of longer term customer relationships and a highly qualified team of software solution experts. This team operates a number of mission critical applications on behalf of customers utilizing Microsoft’s Azure cloud platform. Mr. Alexander is a member of Microsoft’s Customer Advisory Board for Windows Azure.

#### RELATIONSHIP WITH MICROSOFT



ISC takes full advantage of a long running relationship with Microsoft and its employees. ISC is active in a number of Microsoft’s formal partner programs, including Azure Deployment Planning Services (AZDPS), the Cloud Champions Club, Gold

Application Development competency, Cloud Accelerate Program and others.

ISC has been hired repeatedly by Microsoft to develop applications for its internal use, to develop applications for its customers, and to provide services to customers as a subcontractor to Microsoft Consulting Services.

ISC’s status as a Microsoft Gold Partner since 2001 is proof that a significant percentage of its staff holds one or more Microsoft certifications in current technologies, and that the company

has repeatedly delivered large-scale solutions on Microsoft's platforms, meeting or exceeding customer expectations. ISC's culture, in which certifications are encouraged, is an excellent method for attracting and retaining employees who desire to master and use the newest technologies.

## ABOUT OUR SOLUTION

**Florida Campaign eFile** is ISC's solution for a statewide electronic filing system. It is hosted in the cloud and developed for Windows Azure by expert ISC consultants with many years of experience developing applications for the State of Florida, specific lines of business such as major legal firms, and numerous other industries.

## CLOUD SERVICES

ISC is an experienced cloud platform service provider. We can help your organization deploy solutions to Microsoft's enterprise cloud platforms. ISC stands apart as a company that runs on cloud-based systems, understands Microsoft's cloud platforms, and delivers solutions for them to dozens of satisfied customers.

## APPLICATION DEVELOPMENT

Custom application development is the fundamental expertise, the core knowledge and essential practices from which all other ISC services were derived. Working closely with the customer we start with a business process opportunity and build an appropriate solution from the ground up.

ISC's project teams work primarily from our offices in a stable, well supported software development environment. Our infrastructure is always prepared to support the development of enterprise software systems and integration. Our Project Managers work with customers on a day to day basis to ensure visibility.

In developing custom applications, ISC employs the industry's leading tools including:

- Microsoft® .NET Framework™
- Microsoft® SharePoint Technologies™
- Microsoft® Silverlight™
- ISC's MapDotNet Platform for geospatial application development
- Microsoft Windows Azure and SQL Azure
- Microsoft Bing Maps API
- Major database systems including Microsoft® SQL Server™ and Oracle®

## POINT OF CONTACT

Vendor Name: Imager Systems Consulting (ISC)  
Address: 2932 Wellington Circle,  
Tallahassee, FL, 32309

Prepared By: Mark Alexander President  
John P. Viele Senior Consultant

Contact Person: Mark Alexander  
Phone Number: (850) 893-6741 ext 1011  
Email: Mark.Alexander@goisc.com

## RFI QUESTIONS

### **What features does the election software offer?**

All features will be developed specifically to meet expectations of DOS and to comply with Florida election laws and rules.

### **What is the typical timeline for the development of the required product?**

<<<Provide Time Estimate>>>

### **What is the estimated licensing and maintenance fees for state, county and municipal filing officers?**

ISC proposes that the software be delivered under the SaaS model with *no charge* to the state, county, or city governments. Instead, a small transaction fee would be collected on each filing request made by a campaign or candidate.

The exact fee amount would have to be determined after discussion with DOS as to the expected transaction rate, but ISC believes the fee may be less than \$10 per filing.

### **What is the estimated data migration fee for state, county and municipal data?**

This would be determined after more details of the size and nature of the data are provided. However, ISC intends and expects that this fee would be as minimal as is practical to achieve the goals.

### **What is the estimated fee for customizing the software so it complies with Florida laws and rules?**

There will be no fee as the software will be custom developed specifically for this application.

Additionally, ISC would be open to negotiating terms of transfer of ownership and maintenance of **Florida Campaign eFile** to the state of Florida at some future date, in the event that the DOS determines that it would be in the state's best interest to do so.

# HOSTED SOLUTION DETAILS

**Florida Campaign eFile** is a web application that provides electronic filing for candidates in Florida elections. **Florida Campaign eFile** provides for three kinds of secured user accounts:

- Administrator
- Filing Officer
- Filer

All users can manage key profile information for their own accounts including email address, phone numbers, etc.

Administrator users have accounts whose credentials are specified by DOS and are initially configured in the system by ISC when the application is deployed. An Administrator can modify global application settings and manage accounts for Filing Officers and Filers.

Filing Officer accounts are created by Administrator users and are assigned to specific Florida jurisdictions from statewide to the municipal level. Filing officers can perform administrative tasks related to their jurisdiction such as defining due dates for reports, auditing reports, send notifications to filers for failing to file reports and calculating fines for filing late reports.

Filer accounts are created when candidates, representatives of political parties and political committees, etc. register online as a filer. Activities of filer accounts including user registration trigger email notifications to Filing Officers for the related jurisdiction. A filer can submit a report either by entering data in an online form or by uploading a report file in one of the accepted formats. Filers are given confirmation when the report data is first submitted and are sent email notification when their report data is validated and accepted into the system.

**Florida Campaign eFile** also provides public web pages for purposes of requesting information that is public record. Data may be provided as a report on a web page or as a file download in a widely supported format such as PDF.

## OTHER INFORMATION

Given that other methods of filing are likely to continue to be utilized, it is expected that some process will need to be created to allow for importing data from these other systems. This would be needed in order to accommodate requests for public records.

The import process would run nightly, hourly, or whatever periodic basis is deemed necessary to meet public record requirements. It could also be run on-demand when an import file is uploaded by a filing officer.

If city and county systems can already provide particular file formats, those formats would be supported by the import process. If none exists currently, a commonly used format would be agreed upon and supported as appropriate.





*Individualized Service*  
*Innovative Solutions*  
*Focused Results*

# FLORIDA DEPARTMENT OF STATE

## STATEWIDE ELECTRONIC FILING SYSTEM (SEFS)

REQUEST FOR INFORMATION

OCTOBER 25, 2013

Tallahassee  
1203 Governors Square Blvd.  
Suite 500  
Tallahassee FL 32301  
Voice: 850-671-1000  
Fax: 850-656-1300

Jacksonville  
5210 Belfort Rd.  
Suite 320  
Jacksonville FL 32256  
Voice: 904-724-2277  
Fax: 904-723-3501

[www.ISF.com](http://www.ISF.com)

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*Individualized Service*  
*Innovative Solutions*  
*Focused Results*

October 25, 2013

Vonda Murray  
Florida Department of State  
R.A. Gray Building, Room 428  
500 S. Bronough Street  
Tallahassee, FL 32399-0250  
Email: [Vonda.Murray@dos.myflorida.com](mailto:Vonda.Murray@dos.myflorida.com)

Re: Request for Information - Electronic Filing System

Dear Ms. Murray:

ISF is pleased to submit our response to the Request for Information (RFI) to the Florida Department of State (the Department) for an electronic filing system. My information is provided below as the primary contact with whom the Department may correspond regarding this proposal.

**Primary Contact**

Jonathan Conrad  
Client Partner  
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ISF appreciates the opportunity to participate in this RFI. Please do not hesitate to call me if you have any questions. Thank you again for your consideration.

Sincerely,

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Jonathan Conrad  
Client Partner



## OUR UNDERSTANDING

Currently in Florida, candidates, political committees, electioneering communications organizations, and committees of continuous existence are required to file periodic reports that include all contributions received and expenditures made. Quarterly reports are made during the calendar quarter. In an election year, reports containing this information must be filed every other week immediately preceding the primary and general elections. Weekly reports must also be filed. In addition, there are different filing requirements during special elections. While reports filed with the Division of Elections are submitted electronically, reports filed at the local level are frequently filed on paper forms.

In 2013, the Florida Legislature passed important ethics reform legislation requiring the Division of Elections to submit a proposal to the Florida Legislature, by December 1, 2013, for a mandatory statewide electronic filing system for all state and local campaign finance reports including the disposition of campaign funds. The intent of this electronic filing system is to provide more transparency to the public through real-time reporting and accessibility of campaign information. In order to implement this legislative mandate, the Division of Elections, a division of the Florida Department of State, is seeking information to better estimate and analyze the cost to developing, implementing and maintaining a Statewide Electronic Filing System (SEFS) for campaign finances.

The SEFS accommodates the electronic filing of statutorily required treasurer reports that are filed by state, county, and municipal level “filers” to their respective “filing officers.”

- “Filers” include candidates, political parties, affiliated political committees, political committees, electioneering communications organizations, and office account holders. The filer enters the report data manually or by uploading a file.
- “Filing officers” include the Division of Elections at the state level, Supervisor of Elections at the county level, and City Clerks at the municipal level, and they are responsible for administering/managing all filers under their respective jurisdiction. Filing officers need an application to perform administrative tasks such as defining report due dates, auditing reports, notifying filers for failing to file reports, and calculating fines for filing late reports.

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### THE CHALLENGE

The SEFS will be a paperless solution to the greatest extent possible and, at a minimum, have the following functionality:

- Online filer registration
- Account information management
- Security management
- Email notifications

The SEFS will be an online system to provide the public access to all state, county and municipal filer information not exempt from public record. The Department of State intends to produce a report for the Legislature on the feasibility of a statewide campaign finance database using current resources, so that production of the report will not have a fiscal impact on the Department.

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## THE SOLUTION

While we do not have a commercial-off-the-shelf (COTS) software, ISF is responding as a qualified and interested information technology firm adept at providing custom solutions through innovative technologies. A Florida based company, we have the experience and a proven record of developing systems similar in scope to the SEFS. ISF strongly recommends the Department of State consider developing a custom solution for the Statewide Electronic Filing System. By opting to build a custom solution, the Department can ensure its exact needs are met, as well as the needs of the filers, and the system can be easily maintained by the Department should it so choose.

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### CUSTOM SYSTEM VS. OFF THE SHELF

The new SEFS system must be flexible, scalable, stable, and support the Department's needs as well as the needs of filers and other stakeholders. The development of a custom solution will provide the Department with control over the design, development, and functionality of each module and functional area. This approach will allow the Department to dictate the modules created and how they function, the business rules behind filing, and how the system interacts with internal and external third-party systems. This custom solution will be created with the Department's goals in mind including data handling procedures, reporting capabilities, processing functionalities, import/export functionalities, technical requirements, and security.

Elections information filing is a sensitive and critical issue. It is important that Florida's unique approach is considered as well as any applicable regulations, policies, and rules that demand a flexible and agile software system. The Department's role in elections monitoring would require the ability to make system-wide changes or adjustments easily and efficiently. The use of a COTS package will require the Department to be almost completely dependent on the vendor's schedule for release and priority. This will also be true for upgrades or system modifications. A COTS package will also force the Department to match its specifications to the requirements of the software system. Increased costs will be incurred for any customization.

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### PUBLIC PRIVATE PARTNERSHIPS (P3)

Another potential solution for the Department to consider is a public private partnership (P3) to leverage the benefits of a custom solution at a reduced cost to the agency. In a P3, ISF can provide a no-cost or low-cost approach to the Department for building a customized statewide electronic campaign finance filing system that meets all the requirements outlined in the Request for Information (RFI). A P3 is a contractual relationship between a government and a private sector entity, whereby the assets and skills of each partner are shared in delivering a service or product to the public. Because the private sector partner may provide a portion or all of the capital funding for the partnership, the emphasis of the contract is on performance and outcomes. When properly designed, administered, managed, and monitored, a partnership with the private sector offers the opportunity to provide quality public services and address critical infrastructure needs in ways that meet citizen expectations, while effectively dealing with ongoing budgetary realities.

Other advantages of a P3 include:

- Having one private sector firm performing multiple functions (i.e. design, finance, build, operate, and maintain) reduces project completion time, costs less, and results in better quality
- Enables state and local governments to accelerate infrastructure maintenance and improvements

- Avoids a substantial portion of the risk associated with the design and construction of new infrastructure or the maintenance of existing infrastructure, which becomes the responsibility of the private sector partner
- Because more risk is transferred to the private sector, projects usually result in being completed on time and within budget
- Provides a source of new or increased funding for other infrastructure needs
- Frequently results in significant cost savings to state and local governments

A P3 commitment from the private partner, with a cost recovery model managed by the public partner, will allow the Department of State to focus more on its core mission of providing ideal, affordable, and reliable service to its clientele.

For more than eight years, ISF has managed a P3, including helpdesk support, ongoing system changes, and system hosting, with the Florida Department of Health via our CE Broker division. Utilizing a P3 to outsource business functions leverages the expertise of the private sector, allowing our clients to focus on their core missions. Performance metrics ensure outcomes are delivered and accountability guaranteed.

#### CONTROL

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The ISF solution affords the Department maximum control over the finished product. The Department owns the system and the code. Changes, updates, and enhancements are made according to the Department's needs and the needs of its stakeholders. Support can be provided by ISF as needed and the Department will retain control over costs by selecting how and when to use warranty or service hours. COTS systems demand an expensive annual maintenance fee which is paid whether the Department uses maintenance or not.

#### OPPORTUNITY

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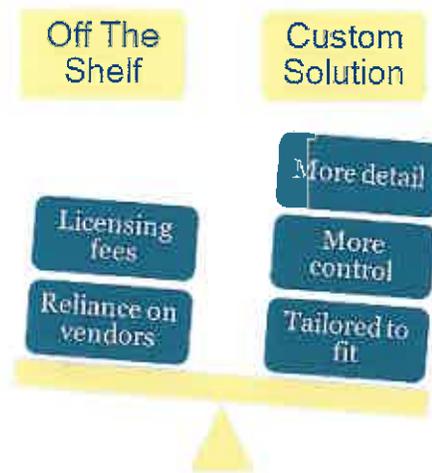
In developing a custom solution, the Department has a wonderful opportunity to invest in a system that will meet a number of goals:

- Improve filing efficiency
- Increase user and stakeholder access
- Decrease maintenance costs
- Improve reporting capabilities
- Increase transparency through real-time tracking

The Department will maximize this opportunity by employing a custom software system designed by an experienced, dedicated team of experts. Although COTS systems appear to have a less expensive initial price, the total cost of ownership of a custom solution brings more value.

## CUSTOM SOLUTIONS - THE ADVANTAGES

ISF highly recommends the development of a custom software solution to meet the Department’s electronic filing needs. A custom solution will allow ISF to partner with Department staff to build a system tailored to meet the Department’s specifications. COTS products often attempt to fit the client’s needs into the capabilities and components of the software program. Using a custom solution, ISF will use the Department’s goals and desired characteristics for this program to build the system. Therefore, all of the components of the solution ISF envisions will be developed by ISF and the Department. This will allow the Department to maintain greater control over the system and related costs. There will be no reliance on external vendors to make modifications and no licensing fees.



Although at first glance, COTS packages may appear to be less expensive than custom packages due to the lower initial “sticker price,” custom solutions provide far more cost effective, user-friendly software systems. Hidden costs associated with customizing the “one size fits all” systems to meet Department specifications are usually very high. Additionally, special design features to solve potential computing problems can be pricey since the system was not originally designed to customer specifications, which must be created later. The final product ends up costing just as much as a custom system, usually with a much less satisfactory result. A fixed-price custom software system will allow the Department to have more control over the budget. There will be no hidden costs, no licensing fees, and no reliance on expensive vendor updates. A custom solution will also give more control over the software as the Department will own the code and can maintain it with internal staff if desired.

### TAILORED FOR DEPARTMENT OF STATE

The custom solution for electronic filing will be tailored for existing business processes. Engaging in system design will provide an opportunity to enhance these processes while developing the new software. This will create a better, more efficient, all around program using the best information technology available to the state.

The following tables provide additional information regarding disadvantages to COTS packages.

COTS: Potential Problems During Implementation		
Negative Impact on Scope	Negative Impact on Time	Negative Impact on Cost
<ul style="list-style-type: none"> <li>The capabilities of the product determine the "requirements" or delivered system features.</li> <li>Advertised features of a product are misaligned with what the product actually delivers.</li> <li>Interoperability with other Department/State systems and with proprietary software.</li> <li>Limited functionality may not meet specific requirements of the Department.</li> <li>Difficult integration procedures.</li> <li>Incompatibilities among vendors.</li> <li>Vendors lack a contingency plan if product fails.</li> <li>Product may have unknown pedigree (or history).</li> <li>Product may not have been built to a set of commercial/government standards.</li> <li>Unavailable design and test data from past implementations or version upgrades.</li> <li>Unknown product limitation (operational, stress, features).</li> </ul>	<ul style="list-style-type: none"> <li>Almost complete dependency on the COTS vendor scheduled release and priority.</li> <li>Licensing and intellectual property procurement delays.</li> <li>Considerable time to customize product to Department specifications.</li> <li>Project may require considerable time to make compliant with commercial/government standards.</li> <li>Implementation of the product may require increased test and analysis for safety verification.</li> </ul>	<ul style="list-style-type: none"> <li>Almost complete dependency on the COTS vendor pricing structure.</li> <li>Up-front license fees.</li> <li>Considerable costs associated with customizing product to Department specifications.</li> </ul>

COIS: Potential Problems During Usability/Support/Maintenance		
Negative Impact on Scope	Negative Impact on Time	Negative Impact on Cost
<ul style="list-style-type: none"> <li>• Unnecessary features compromise usability and performance.</li> <li>• Functionality, efficiency constraints.</li> <li>• Dependency on vendor.</li> <li>• Reliability often unknown/inadequate; scale often difficult to change.</li> <li>• Vendor training is basic.</li> <li>• Vendors change features of their product in response to overall marketplace demands.</li> <li>• Restricted level of support and only vendor developers are allowed to work on product.</li> <li>• Department pays for functionality it may not even want/use.</li> <li>• Potentially unreliable.</li> <li>• No control over upgrades/maintenance.</li> <li>• Unknown product capabilities and/or functionality.</li> </ul>	<ul style="list-style-type: none"> <li>• Dependent on vendor schedule and priority setting.</li> <li>• Considerable time to synchronize multiple vendor upgrades.</li> <li>• Requested enhancements included in periodic version releases.</li> <li>• Vendor support “honeymoon” period is short lived.</li> <li>• At some point, the product may not be supported.</li> <li>• Newer product versions may be revised by vendor without notice.</li> <li>• Considerable time may be required by Department to manage and monitor enhancement requests.</li> </ul>	<ul style="list-style-type: none"> <li>• Additional vendor training is costly.</li> <li>• Recurring maintenance fees.</li> <li>• Product functionality upgrade costs are passed on to the Department regardless if the functionality is utilized by the Department.</li> <li>• Special design features to trap and workaroud potential problems may be costly.</li> </ul>

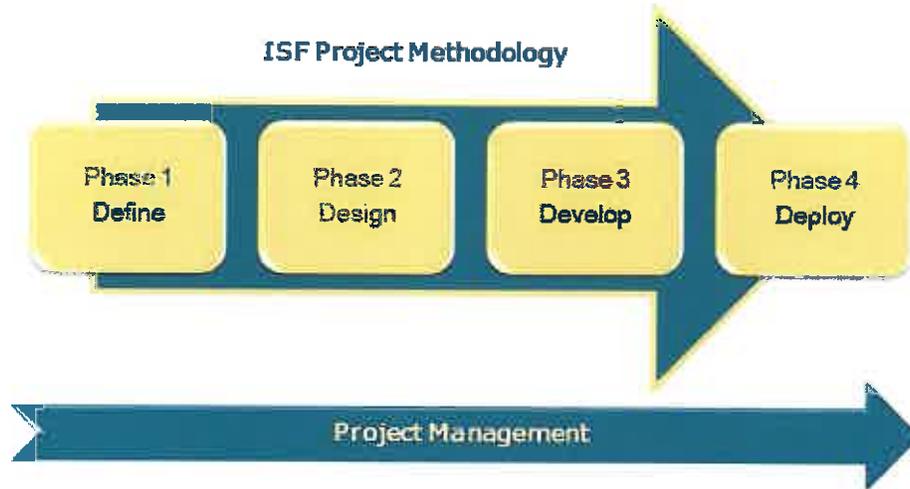
## P3 - THE ADVANTAGES

In addition to providing a custom-built SEFS, ISF can also partner with the Department on a P3 initiative. Recent legislation has solidified the procurement procedures and requirements for P3 project approval. While the statute focuses on construction and infrastructure project, a P3 can be beneficial in all business areas, such as an entire business function, call centers, software solution, hardware infrastructure, revenue collection, and hosting. The Department can turn over as many or as few processes as it chooses to the vendor to manage, freeing up significant resources. This leverages the expertise of the private sector, while ensuring the Department retains authority and oversight. ISF can provide a continuum of outsourcing services, ranging from an entire business operation to simply the information technology pieces, often at no cost to our clients.

Rather than using general revenue to fund P3 initiatives, ISF can enter into no-cost P3 contracts using a cost recovery model. ISF can provide all required business services and recover the initial and ongoing costs through a fee paid by the users benefiting from the service. Using this model, ISF could provide all required information technology services and subsequently recover the operational expenses through a nominal fee charged during the filing process. The cost recovery model would be determined in collaboration between ISF and the Department to ensure a fair and equitable approach to ISF, DOS, and they system's users.

# ISF METHODOLOGY

ISF typically follows a 4-D methodology for system development. This model consists of four key phases, Define, Design, Develop, and Deploy. It focuses on establishing a clear understanding of current and desired functionality while identifying the necessary steps to achieve success with the final solution. The four key phases are summarized as follows.



## PHASE 1: DEFINE

The process of creating a new electronic filing system must begin by identifying best practices already in place within the industry, and assessing the current processes and functionality within the Department. Once an understanding of industry perspectives, current processes, best practices, and desired functionality has been obtained, the Department can then accurately define the new electronic filing system and its business rules.

The Department will be able to utilize the insights gained from industry involvement and the data gathered during the assessment to identify and document specific project goals including not only functionality and processes, but continued industry involvement and stakeholder support. System and business requirements are defined for both current and desired functionality. A conceptual design document is developed, which binds scope for the project.

The following list illustrates the process that would typically be part of an ISF Phase 1 project plan for development of software similar to the Department’s desired electronic filing system:

- Engage internal and external stakeholders
- Define existing processes



- Develop project planning documentation
- Create detailed system requirements
- Produce conceptual design document

**PHASE TWO: DESIGN**

ISF develops design specifications, prototypes, and testing plans. In addition ISF will hold functional walkthroughs to confirm the intended design. The design phase is very important because it will provide the Department a first glimpse of the new system. Reviewing design documents with staff will allow them to provide input into refining the system and how it will meet the needs of their business processes.

The design phase will be focused on developing the design specifications, prototype, data conversion plan, and test plans for the new system. In addition, the Department would participate in a functional walkthrough to preview the look and feel of the new system, as well as main success scenario screen flows. This process will be focused on designing the complete, electronic filing system to encompass all known requirements as defined in Phase 1. ISF’s typical design activities completed in Phase 2 of a software development project are listed below.

- Develop high-level design document
- Produce a prototype
- Create detailed design specifications
- Develop test plans
- Generate and test a technical proof of concept
- Design implementation plan



**PHASE THREE: DEVELOP**

ISF develops a fully functioning application, develops data conversion scripts, and conducts initial testing. The development stage of the project entails conducting the programming required to create the system according to the approved design requirements.

This phase will include developing a fully functioning application and initial testing. The development stage of the project entails conducting the programming required to construct the system according to the approved design requirements. At the end of the develop phase, the system is ready for deployment. ISF’s typical development activities are detailed below.

- Develop electronic filing system
- Execute test plan
- Test user acceptance
- Create final technical specification document



## PHASE 4: DEPLOY

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ISF will launch the new system, provide training, and begin support and operation activities. Once the system is deployed, ISF will continue providing support through a pre-determined number of warranty hours for system stabilization. The details of the deployment will need to be solidified based on whether the Department opts to host the solution, use ISF's hosting facility, or outsources the entire SEFS to ISF. The following activities describe ISF's typical Deploy phase:

- Develop user training materials
- Engage in training
- Create an online training tutorial
- Deploy the electronic filing system



The activities described in each phase of ISF's methodology will be customized to meet the needs of the Department and the new electronic filing system.

## ISF'S HISTORY & EXPERIENCE

Serving clients nationwide, ISF is a Florida-owned, management consulting and information technology firm. We are committed to helping businesses and government operate better, smarter, and more efficiently through innovative technologies and solutions. For more than 30 years, ISF has served clients large and small in developing new business paradigms and technical solutions that provide flexibility and opportunities to compete successfully and grow. We pride ourselves on a long history of ensuring our clients are satisfied with all aspects of the products and services we deliver.

ISF is perfectly sized and able to adapt to the changing needs of our clients while still providing individualized, trusted customer service. Our corporate headquarters is located in Jacksonville, Florida, and a full service office located in Tallahassee, Florida, just minutes from the state capitol and local agencies.

ISF has enjoyed consistent financial stability and growth during these tough economic times due to our commitment to client satisfaction. We understand our client's needs. Never before has it been more important for our clients to have control over the information technology that serves their needs and the needs of their stakeholders.

### **Deeply rooted in ISF is our belief that IT should be used for achievable results to:**

- Improve efficiency and customer service
- Increase revenues
- Control costs
- Create seamless interactions with stakeholders
- Differentiate our client in the marketplace

ISF is committed to the design and development of IT solutions that incorporate the latest proven innovations in technology. We consider ourselves to be our customers' advocate, and we take that role very seriously. We are dedicated to continually providing solutions that are flexible, stable, and secure, for the best value possible.

ISF's core business functions are management consulting services, information technology consulting services, and business process outsourcing. Our services/products fit into these three categories as shown in the following diagram.



**EXPERIENCE**

ISF has extensive experience in custom software development for state agencies, with over 275 custom software solutions developed in the past 32 years. This experience includes many engagements in which software demands and requirements match those found in DOS’s RFI for an electronic filing system. This gives ISF an advantage in identifying and resolving potential issues and predicting the needs of new software systems.

**DEPARTMENT OF HEALTH, BUREAU OF CHILDCARE FOOD PROGRAMS  
MANAGEMENT INFORMATION PAYMENT SYSTEM (MIPS)**

The Florida Department of Health, Bureau of Child Nutrition Programs, administers the USDA subsidized Child Care Food, After-School Snack, and Homeless Children Nutrition programs. These programs enable eligible childcare centers in Florida to provide nutritious meals for low-income children.

In January 1998, the Bureau of Child Nutrition Programs and ISF began development of the Management Information Payment System (MIPS) – an internet-based system that processes federal food claims submitted electronically by independent, home, and childcare centers in Florida to ensure proper nutrition for low-income children.

MIPS supports two core business processes: application processing and payment claim processing. Using this system, any eligible childcare provider in Florida can update contact information and submit claims to be processed via the internet. To retrieve data, Bureau management and the approved childcare sites are able to generate selected reports over the web. Statewide performance measurements are also captured in the system.

ISF has continued to provide MIPS system development and support services since its launch in 1999, most recently upgrading MIPS to Microsoft .NET.

### FLORIDA DEPARTMENT OF FINANCIAL SERVICES, DIVISION OF WORKER'S COMPENSATION ELECTRONIC DATA INTERCHANGE

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The Division of Worker's Compensation (DWC) is responsible for collecting workers' compensation claims, medical, and proof of coverage data; ensuring data quality; organizing data to provide real-time feedback to data submitters; and maintaining accurate and readily accessible information for all workers' compensation stakeholders.

Beginning in 2008, ISF worked with DWC on its Electronic Data Interchange, developing and supporting the system. Claimants submit their claims, medical information, and other pertinent data via this system. Insurers use it to report their claim activity, as well. Providers submit medical information related claims. DWC uses this system for reporting to federal entities.

### FLORIDA DEPARTMENT OF FINANCIAL SERVICES, OFFICE OF INSURANCE REGULATIONS WEB ENABLING COMPANY ADMISSIONS APPLICATIONS (WECAA)

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The Office of Insurance Regulation sought to enhance the existing insurance company admissions workflow system to allow electronic submission of applications and a seamless integration with the National Association of Insurance Commissioner's uniform application system. The resulting system increases the efficiency with which the Office can serve insurance companies, thus increasing the incentive for new insurers to enter the Florida market. ISF currently provides system support for WECAA.

### FLORIDA DEPARTMENT OF MILITARY AFFAIRS INTEGRATED EMERGENCY OPERATIONS MANAGEMENT SYSTEM

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In 2005, ISF developed the original Integrated Emergency Operations Management System (IEOMS) for Florida's National Guard (FNG), which improved operations in several business areas, including ensuring accurate and timely pay to soldiers and airmen engaged in emergency operations. To streamline and improve the efficiency and accuracy of administrative processes associated with state active duty, the Department of Military Affairs (DMA) identified the need to develop new systems as well as upgrade existing ones. Once completed, these modules formed the Integrated Emergency Operation Management System. This system allows the DMA to increase the level of information provided to field personnel during state active duty operations and allows military personnel to perform the following processes electronically:

- Record and process daily attendance;
- Verify attendance reports for payroll processing;
- Cross-check attendance against travel requests and vouchers;
- Process travel related claims;
- Obtain purchase approval;
- Estimate funding needs;
- Track telecommunications services; and
- Report injuries and process related claims

To enable the FNG and DMA to focus on their core missions and free up much needed funds and staff, ISF developed and installed new modules, upgraded existing modules, and integrated all modules as part of a single, fixed-fee project through a deliverables-based contract. The most critical modules were deployed first, followed by the remaining integrated system components. ISF also designed the portal and graphical interface for the resulting web-based system. ISF continues to supply application support and

maintenance, to allow the Department of Military Affairs to continue to support efficient and effective emergency operations.

The claims processing element to this system involves the submission of claims from local municipalities during emergencies which are then processed and submitted to the federal government for reimbursement under federal cooperative agreements. Data is prepopulated into the State Form 270 (claim form) for federal reimbursements and submitted.

### **CE BROKER (P3)**

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In September 2003, ISF was awarded a no-cost contract from the Florida Department of Health to provide comprehensive business outsourcing by tracking the continuing education requirements for Florida's more than one million medical professionals. To meet these project requirements, ISF established CE Broker (a division of ISF) in our Jacksonville corporate office. The responsibilities of the CE Broker staff included developing a comprehensive web-based software system, staffing a robust call center and help desk, ensuring networking and security, developing computer-based and instructor-led training, and providing a myriad of outreach and marketing activities. CE Broker has been so successful that healthcare agencies in other states are now using our P3 services, summarized below.

#### **Hosting/System Capacity**

ISF has in place a robust hardware and communications infrastructure. ISF is using Peak 10 for data center services and site hosting. Peak 10's business unit meets ISF's requirements for security and capacity, ensuring CE Broker is available 24x7, especially during peak demands. The website averages 2.4 million hits per month.

#### **Support Center**

ISF's corporate headquarters in Jacksonville houses the CE Broker help desk and provides support during State of Florida business hours. Help desk personnel are available to answer questions via phone, fax, email, and live chat. During a typical week, the call center responds to over 700 calls, 20 voicemails left after hours, and 200 emails.

#### **Financial Transactions**

CE Broker collects fees from educational providers and remits them to the Florida Department of Health biweekly. These fees range from \$1,000-\$10,000. CE Broker allows secure payment to be made online via credit card, check, or e-check. As part of the contractual agreement some of these fees are passed onto the Florida Department of Health.

#### **Data Exchange**

CE Broker has an interface with the Florida Department of Health's licensing system that is used to exchange licensee/continuing education data. This component conducts regular electronic interfaces and updates of both the CE Broker and DOH licensing system. This same system contains the data for all Florida pharmacies.

#### **Data Upload**

CE Broker performs a machine-to-machine asynchronous interface between CE Broker and the Florida educational providers using web services. ISF and CE Broker have already resolved the myriad of technical problems that can be encountered in establishing this technical interface and have developed detailed instructions.

### **Multiple Data Entry Options**

CE Broker has developed multiple methods for educational providers to update professionals' continuing education credits – ranging from website data entry, to electronic uploads, to scan sheets.

### **Mobile Applications**

CE Broker recently released a version of its website for iPhone users to access their continuing education records. Other mobile application versions are in production.

### **PCI Compliance**

The CE Broker website is Payment Card Industry (PCI) compliant, adhering to the security standards necessary to protect credit card information.

## TIMELINE

The timeline for software development would depend greatly upon the scope of the project. ISF uses Microsoft Project to produce a detailed project schedule based on the Department's goals and desired system characteristics. Our staff is adept at scheduling projects in a realistic way and delivering on time and on budget.

### CONTROL

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A custom, ISF solution affords the Department maximum control over the finished product, including the project schedule. By selecting system components and deciding which work stream will be designed first, the Department maintains control over schedule and budget. ISF's experienced staff will provide guidance and insight into realistic expectations for scheduling system development and controlling scope.

The Department owns the system and the Department owns the code. Changes, updates, and enhancements are made according to the Department's schedule. Support can be provided by ISF as needed and the Department will retain control over costs by selecting how and when to develop and enhance the system. COTS systems are developed according to their own schedule with little input from the client. In most cases, the client is forced to change and adapt business processes in order to fit with the new software system. This takes additional time and other resources from the Department.

### FAST TRACK OPTION

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A "fast track option" is available which would allow the Department to quickly develop and deploy a single element of the electronic filing system in as short a period of time as possible. By fast tracking a single function or work stream, the project can quickly show tangible progress, thereby increasing support for the project.

# COST

One key to project success is the ability of the selected firm to accurately predict the cost and time required to successfully deliver a business solution. ISF uses a three-pronged approach to costing software analysis and design projects.

- First, we develop a fully loaded project plan that details staff assignments per task and target completion dates. This process yields one probable number for time and cost based on anticipated activities and tasks.
- Second, we analyze the potential number of necessary FTE required throughout the project lifecycle. This analysis is based on our experience with similar projects. This process yields another probable number for the project’s time and cost requirements.
- Third, we analyze our history of similar projects and their time and cost requirements.

Once information is calculated using these methodologies, the resulting values are compared to derive the most probable cost for successful project completion. We believe that ISF’s experience with software design and development will enable us to provide the Department with a complete electronic filing system in a timely and cost-effective manner.

Unfortunately, the exact timeline and costs cannot be provided based on the limited facts in the Department’s Request for Information. The project’s budget and timeline will vary based on the scope of the software development project.

ISF has two State Term Contracts (STC) as identified below, which include our pre-negotiated ceiling rates. ISF will identify the most appropriate and cost effective STC positions to use for the project, providing the best value to the Department.

- State of Florida IT Consulting Contract - #973-561-010-1
- State of Florida Management Consulting Contract - #973-001-06-1.

Price Estimate for ISF Custom Software Solution for Electronic Filing System	
Software License Fees	DOS will own the system and source code. No licensing fees apply.
Professional Services (apart from annual maintenance and support; itemized according to type)	Professional Services are included in the custom development approach using the 4-D Methodology.
Annual Maintenance & Support	Warranty time included in development at the rate identified below. Set number of hours determined in collaboration with the client. An on-going maintenance contract will be negotiated with the Department when warranty hours have been used.

## P3 OPTION

If the Department decides to pursue a P3 option, ISF and the Department will work together to establish the most appropriate cost recovery model to limit the Department’s costs as much as possible.





**pcc technology group<sup>LLC</sup>**

**State of Florida  
Department of State**

**Statewide Electronic Filing System**

**Response to RFI-09-13-1**

**Due Date and Time: October 25, 2013 at 3:00 p.m. EDT**

*Submitted by*

**PCC Technology Group**

**2 Barnard Lane, Bloomfield, CT 06002**

**Phone: (678) 853-2532**

**Authorized Contact Person: Mr. Kelly Farr**



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October 25, 2013

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Purchasing Director  
R.A. Gray Building, Room 428  
500 S. Bronough Street  
Tallahassee, FL 32399-0250

RE: Request for Information, Statewide Electronic Filing System, RFI-09-13-1

Dear Ms. Murray;

PCC Technology Group, LLC (PCC) is a US-based premier information technology services company with a successful track record of providing software solutions to State, Local and Federal. Since 1995, our goal has been to hire, develop, and supply the highest quality IT solutions and talents to our customers. We have earned a reputation as one of the nation's leading provider of IT services.

In 2001, we introduced our Campaign Finance Information System (CFIS) to the State of Connecticut, where it won the digital government award. Since then, we have continually updated the product and are a market leader with six state-wide implementations, the largest county in Michigan (Wayne), and the largest city in America (New York City). The system is architected with the most advanced technology available today, which makes it easy to configure, manage, and maintain at the lowest total cost of ownership. CFIS is offered as both a State-hosted or Cloud-hosted solution and is easily scalable to meet the high demand of a State the size of Florida.

Please contact Mr. Kelly Farr, Director of Southeast Sales at (678) 853-2532 or email at [Kelly.farr@pcctg.com](mailto:Kelly.farr@pcctg.com) for any additional questions or to set-up an onsite demonstration.

Joe Singh  
President

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## PCC Technology Group

### Our Background

PCC Technology Group (PCC) is a US-based information technology services company with a successful track record of providing software solutions to Fortune 1000 companies and State and Local Governments. Since 1995, our goal has been to develop and supply the highest quality IT solutions and personnel to our clients.

Our current and most recent State projects relevant to the State of Florida requirements include Maryland Campaign Finance System, the Lobbyist Reporting System for the Rhode Island Secretary of State, New York City Independent Expenditure Reporting System, Michigan Wayne County Campaign Finance System, the Business Filing Portal for the Vermont Secretary of State, and the Statewide Voter Registration System for the Georgia Secretary of State. In addition, we recently were awarded the contract to implement our Campaign Finance Information System (CFIS) in the State of Delaware, which marks the seventh jurisdiction to select our campaign finance solution.

### Our Experience and Qualifications

PCC serves both the commercial and public sectors (state and local governments) and has developed enterprise solutions for some of the world's leading organizations as well as large government agencies. PCC is a full service business and technology consulting organization that approaches each client engagement as unique.

Our business is organized into practices and each practice has experienced and dedicated subject matter experts and implementation staff to support client needs in the following areas:

- **Ethics Disclosure Solutions**, including Lobbyist Reporting, Campaign Finance Disclosure and Conflict of Interest filing.
- **Secretary of State Solutions**, including Business Filing and Elections
- **Transportation Solutions**, including Right-of-Way Acquisitions and Roadway Inventory
- **Utilities Solutions**, including Energy Conservation and Customer Experience

In 2001, PCC implemented the first 100% web-based campaign finance system in the State of Connecticut, where it won the digital government award in 2002. We have previously implemented similar campaign finance systems in the States of Connecticut, New Hampshire, Wisconsin, Maryland, New York City and as well as in Wayne County, Michigan.

## Response to RFI Questions

### 1 What Features Does the Election Software Offer?

PCC has a proven Campaign Finance Information System (CFIS) product that is designed to enable candidates running for public office, political action committees, and central political party committees to securely report their campaign finance activity electronically over the internet using a Web browser. The system also includes robust functionality for agency users and administrators to:

- Interact with committees,
- Receive and audit all Statement of Organization and Financial Statement submissions,
- Assess and collect fees,
- Generate necessary reports, and
- Configure the system for ongoing changes to filing calendars or other statutory business rules.

CFIS is a browser-based solution that can be accessed through any Web browser on the user's desktop computer without third-party downloads or software installation. The system security is role-driven and can be dynamically configured by the agency to ensure appropriate access levels for all users, including filing officers.

#### 1.1 The Modules

The CFIS is comprised of three major modules that provide online registration functionality, account information management, security management, and email notifications:

- Committee
- Agency
- Public

The **Committee Module** allows filers to register their campaign finance entities electronically by creating a secure account and entering the Statement of Organization information using easy to follow, step-by-step data entry screens. The system provides filers with a graphical display that keeps them abreast of where they are in the filing process and how many steps remain. Once the registration is approved by the agency administrator, committee filers receive an email notification and can begin entering contributions, expenditures, loans, and other transactions directly into optimized data entry screens or by uploading information using pre-formatted templates. As data is entered or uploaded, filers are alerted if information entered is non-compliant with state law or system business rules prior to submitting the report to the Division of Elections.

The **Agency Module** provides the Division of Elections' staff with an easy way to configure system parameters and defaults (filing calendars, elections, political parties, contribution and expenditure limits, dropdown options, etc.). This module also allows the agency users to monitor compliance with reporting deadlines, create penalty, or other types of enforcement related correspondence and initiate or track all communications with the registered committees in a virtually paperless environment. In addition to a number of pre-configured reports and search mechanisms within the application, the ad-hoc query tool allows the Division of Elections the flexibility to search, analyze, and extract data for nearly any imaginable business or reporting need.

The **Public Module** provides multiple dynamic search options to provide the most complete, efficient, and real-time campaign finance disclosure available in the industry. State-of-the-art data mining features and the ability to export data in a variety of formats ensures robust transparent reporting delivered to the public with the absolute minimum of agency resource involvement.

## 1.2 Financial Data

PCC's CFIS includes a completely administrator-configurable filing calendar that drives the deadlines, alerts, notifications, and penalty assessment rules in accordance with Florida statutes. If certain filings are tied to an election, such as pre-primary or post-general, the filing calendar seamlessly integrates with any external Elections Management Systems to provide the election dates, and the administrator can configure how many days before or after the election that the report is due. For non-election specific filings, such as annual reports due on the 15th of the month from July through December, administrators simply assign an end date for the period (date through which contributions and expenditures were incurred) and a due date for the report. Other business rules, such as the types of committees that are required to submit a certain type of report, are also configurable by the administrator. Figure 1 is an example screen shot of the CFIS filing calendar.

The screenshot shows a web interface titled "Filing Periods". At the top right, it says "(User Admin) ?". Below the title is a section "Add New Filing Period" with a form containing:

- Filing Period\*: A dropdown menu with "Select Filing Period" selected.
- Election Name\*: A dropdown menu with "Select Election" selected.
- End Date\*: A date input field.
- Due Date\*: A date input field.

Below the form are three buttons: "Add Filing Period", "Clear", and "Cancel".

Below the form is a table with the following columns: End Date, Due Date, Filing Period Type, Election Name, and Actions. The table contains 16 rows of data:

End Date	Due Date	Filing Period Type	Election Name	Actions
11/22/2016	11/29/2016	Post-General	Presidential	[Icons]
10/21/2016	10/28/2016	Pre-General	Presidential	[Icons]
10/07/2016	10/14/2016	Ballot Issue Report	Presidential	[Icons]
03/18/2016	03/25/2016	Pre-Primary	Presidential	[Icons]
01/13/2016	01/20/2016	Annual		[Icons]
01/14/2015	01/21/2015	Annual		[Icons]
11/18/2014	11/25/2014	Post-General	Gubernatorial	[Icons]
10/05/2014	10/10/2014	Ballot Issue Report	Gubernatorial	[Icons]
08/19/2014	08/26/2014	Pre-General Report 1	Gubernatorial	[Icons]
07/08/2014	07/15/2014	Central Committee Report	Gubernatorial	[Icons]
06/08/2014	06/13/2014	Pre-Primary2	Gubernatorial	[Icons]
05/20/2014	05/27/2014	Pre-Primary1	Gubernatorial	[Icons]
04/08/2014	04/15/2014	Spring Report	Gubernatorial	[Icons]

Figure 1 – Filing Calendar

The key to the CFIS, however, is the robust and comprehensive mechanism in which it captures, audits, and transmits financial data related to a scheduled reporting period. Filers have the ability to enter contributions and expenditures throughout the filing period, removing the burden of entering all data at the time of submission. All transactions entered, either through data entry or file upload, are stored in a temporary state, which we call the “sandbox”, until the filers are ready to submit their official campaign statement to the Division of Elections. Even if the report is late and the due date has already passed, the filers have the ability to enter or change transactions in the “sandbox” until the report is officially submitted. *Note:* All transaction dates must still fall within the original parameters of the filing period. After the report is submitted, information can only be added or changed for that report by using the amending process, which will create a formal report amendment. At any time, filers can preview the filing to see the full report that will be filed without actually submitting it.

The most acclaimed feature of the “sandbox” is the automatic and visually represented compliance verification feature. As transactions are entered into the system, they are filtered through a robust business rules engine that cross-checks against hundreds of configurable compliance checks. If a transaction is incomplete, exceeds a limit, or contains any number of errors, a “red flag” icon will appear next to the transaction. Hovering over or clicking on the icon will provide an itemized list of the errors and then the user can fix the issues. This feature is shown in the screenshot of Figure 2.

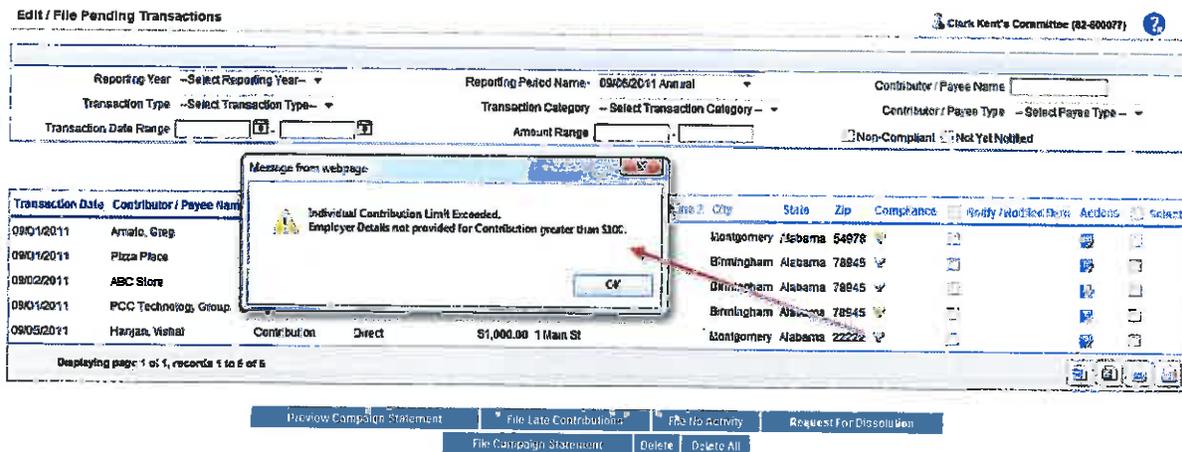


Figure 2 – Edit/File Pending Transaction Screen with Compliance Checks

Again, most of these compliance checks are configurable through table-driven maintenance screens; as rules and statutes change regarding limits, required fields and other parameters, the system administrator can keep the system up-to-date without expensive code changes.

The system is configurable for any number of transaction types and applicable business rules for each. These features include:

- o Reporting Contributions/Candidate Loans – Contributions are reported by:
  - Type of Contribution

### Enter Contributions/Transfers/In-Kind Contributions

**Contribution General Information**

Filing Period\*

Contribution Type\*

**Contributor Information**

Search Existing Contributors

Search Contributor Name

-or- Enter Contributor Information

Last Name\*

Residence Address

Address Line 1\*

City\*

–Select Contribution Type–

Candidate Loan

Cash

**Check**

Coordinated In-Kind

Credit Card

Electronic Fund Transfer

In-Kind

Other Income

Payroll Deductions

Raffle or Wheel Cash

Raffle or Wheel Check

Raffle or Wheel Credit Card

Refund/Rebate

Ticket Purchases Cash

Ticket Purchases Check

Ticket Purchases Credit Card

Transfer

▪ Type of Contributor:

Contributor Type\*

- Select Contributor Type-
- Business/Group/Organization
- Federal Committee
- Individual
- Labor Union
- Non-Profit Organization
- Political Club
- Self (Candidate)
- Spouse (Candidate)

▪ Contributor Information:

Contributor Information

Search Existing Contributors  
 Search Contributor Name

-or- Enter Contributor Information  
 Last Name\*  First Name\*  Middle Name

Residence Address  
 Address Line 1\*  Address Line 2   
 City  State  Zip

Employer Information (Required information for contributions received from individuals \$500 or more in the aggregate)  
 Contributor Occupation  Employer Name

I have sent a written letter to the above contributor requesting employer/occupation information. The contributor has failed to supply this information.  
Failure to enter address information will result in a non-compliance flag.

▪ Contribution Details:

Contribution Details

Contribution Date\*  Contribution Amount  Check Number

Cash Cumulative Amount \$0.00 Legal Cash Limit \$100  
 Election Cycle Cumulative Amount \$0.00 Legal Contribution Limit \$4000.00

Comments

Comments will not appear on fund report

Submit Clear Cancel

○ Reporting Expenditures – Expenditures are reported by:

▪ Payee Type:

Enter Expenditures and Outstanding Obligations User Admin (Friends of John Gallagher) ?

Expenditure General Information  
 Filing Period  Payee Type\*

Payee Information  
 Search Existing Payees  
 Search Payee Name

-or- Enter Payee Information  
 Business/Organization Name\*

Mailing Address  
 Address Line 1\*  City  Zip

- Select Payee Type-
- Ballot Issue Committee
- Business/Group/Organization
- Candidate Committee
- Federal Committee
- Individual
- Labor Union
- Non-Profit Organization
- PAC Committee
- Party Central
- Political Club
- Registered Out-of-State Non-Federal Committee
- Reimbursable
- Self (Candidate)
- State Committee
- Spouse (Candidate)
- Unregistered Out-of-State Non-Federal Committee

▪ Payee Information:

Payee Information

Search Existing Payee

Search Payee Name

or Enter Payee Information

Business/Organization Name\*

Mailing Address

Address Line 1

Address Line 2

City

State

Zip  -

▪ Expenditure Details:

Expenditure Details

Expense Date\*

Expense Amount\*

Expense Category\*

Expense Purpose\*

Outstanding Obligation

Payment Method\*

Was this expense made to pay for an in-kind contribution?  Yes  No

Vendor Details (If Payee is not the Vendor)

Vendor Name

Address Line 1

Address Line 2

City

State

Zip Code  -

Comments

○ Reporting Non-Candidate/Commercial Loans – Loans are reported by:

▪ Loan Details:

Enter Non-Candidate Loans User Admin (Friends of John Gallagher)

Non-Candidate Loan Details

Filing Period Name\*

Loan Date\*

Loan Term\*

Interest Charged\*  %

Loan Amount\*

Loan Schedule\*

Prime Rate\*  %  
Go day loan was made

Fund Type  Administrative  Electoral

▪ Lender Information:

Lender Information

Lender Type\*

Lender Name

Address Line 1

Address Line 2

City

State

Zip Code  -

Authorizing Agent Information

Last Name

First Name

Email

Phone

Middle Name

▪ Candidate Guarantor Details:

Candidate Guarantor Details

Candidate Guarantor

Address Line 1

City

State

Address Line 2

Guaranteed Amount

Zip

- o Reporting Loan Payments – Loan payments are reported by selecting the specific loan from a list of outstanding loans and entering payment and/or forgiven amounts:

Enter Loan Payments User Admin (Hixson, Sheila Friends of Delegate) ?

Payment Filing Period:  Loan Type:  Select Loan:

**Lender Details**

Last Name:  First Name:  Middle Name:   
 Address Line 1:  Address Line 2:   
 City:  State:  Zip Code:

Fund Type	Payment Method	Payment Date	Payment to Principal	Interest Paid	Forgiven Flag	Principal Amount	Outstanding Amount	Loan Date
Electoral	<input type="text" value="Select Payment Type"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	\$5,000.00	\$1,000.00	06/19/2012

Payment Method	Payment Date	Payment To Principal	Interest paid	Payment Type	Edit	Delete
Check	09/01/2013	\$1,000.00	\$0.00	Non-Candidate Loan Payment	<input type="button" value="Edit"/>	<input type="button" value="Delete"/>
Check	09/15/2013	\$3,000.00	\$50.00	Non-Candidate Loan Payment	<input type="button" value="Edit"/>	<input type="button" value="Delete"/>

- o Reporting Returned Contributions – Returned contributions, such as an individual contributed more than the legal limit, are reported by selecting the specific contributor from a list of previous contributors and entering the reporting period and amount that applies to the return:

Enter Return Contributions User Admin (Hixson, Sheila Friends of Delegate) ?

**Click here for information**

Last Name\*  First Name\*  Middle Name   
 Mailing Address Address Line 1\*  Address Line 2   
 City\*  State\*  Zip\*

Employer Information (Required information for contributors received from individuals \$500 or more in the aggregate)  
 Contributor Occupation  Other Occupation  Employer Name

Election Cycle	Fund Type
Election Cycle 2011-2014	

Filing Period	Date	Type	Payment Method	Amount
2013 Annual	01/08/2013	Contribution		200.00
Election Cycle Aggregate				200.00

**Returned Contribution Details**

Election Cycle:  Filing Period:  Returned Date\*:   
 Returned Amount:   
 Comments:   
 Payment Method:

- o Reporting Payments for Outstanding Obligations – Payments for outstanding obligations (for example, the candidate bought supplies on-account) are reported by selecting the specific obligation (expenditure) from a list of previous expenditures flagged as obligations and entering the payment details:

Enter Outstanding Obligations Paid User Admin (Holmes, Marvin E. Jr. Friends Of)

Filing Period Name: 01/15/2014 Annual Payee Name: \_\_\_\_\_

Expenditure Date	Vendor Name	Original Amount	Balance Amount	Payment Type	Payment Date	Forgiven Amount	Payment Amount
10/30/2012	Staples	\$1,683.26	\$0.00	Select Payment Type			

Payment Type	Payment Date	Forgiven Amount	Payment Amount	Edit	Delete
Check	09/15/2013	\$0.00	\$1,683.26		

Submit Cancel Clear

PCC’s most innovative feature is the robust and user-configurable Correspondence Module. Users can create and modify templates for any type of notice, letter, form, or report by using a Microsoft Word-style rich text editor and then configure the business rules for when and how these are sent, such as event driven, ad-hoc, email, online, or paper. This means the Division of Elections does not have to rely on or pay PCC to make necessary updates due to statutory changes. In addition, this feature saves agencies time and money.

### 1.3 Tracking and Reporting on Mass Media Activities

PCC’s CFIS was one of the first systems in the country to allow completely on-line reporting by “electioneering communication” entities or entities making contributions to mass media advertising in support of or opposition to a candidate.

The data required for the registration of such entities is typically less stringent than for official committees, and they are not beholden to a formal, recurring filing calendar but instead must file based on certain events or thresholds defined by State statutes, such as they must report any expenditure more than \$500 within 30 days of election. PCC’s solution is easily configurable for the registration and reporting requirements around this activity. From an expenditure reporting perspective, the out-of-the-box solution should cover 100 percent of the known requirements by allowing the identification of the media outlet, the purpose of the expense (for example, television advertisement), the date and amount of the expenditure, the candidate for which it was directed, and the position of the electioneering entity (support or oppose).

### 1.4 Submitting Through an Online Public Portal

PCC’s CFIS allows to users complete their registration and all reporting online.

The first step in the workflow is the online registration of a campaign entity through the portal. Our solution provides a “Turbo Tax”-style interface that uses a step-by-step approach to the entry, verification, and submittal of required registration information, such as candidate information, treasurer information, office sought, and bank details. The system can be configured to require committees to register for a specific election or election cycle and then terminate, or committee registrations can persist across the life of their campaign activities even if they run for different offices across different elections.

The major advantage of the pre-registration process is to ensure an efficient user experience by reducing the need for filers to enter all details of their organization every time they file a report. In addition, by having a present account within the system, it allows the “sandbox” functionality described above whereby candidates can enter their contributions and expenditures over time, correcting errors as they are identified, and then submit the final report at the deadline as opposed to the tedious process of entering all transactions at once. The persistent account concept also allows for the committees and the agency to see a detailed history of the filers activity, including filed reports, correspondence generated and received, violations and fines, and changes to the organization’s structure. When an amendment is necessary, the filer simply chooses from a list of previously filed reports, makes necessary changes to the transactions and reported bank balances, and the system automatically generates the amendment without the need to re-type all of the original transactions.

### 1.5 Data Import

Rather than using the data entry process, filers have the option to upload transactional data in bulk utilizing predefined formats, such as CSV, XML, and Quicken. The system reviews each row of the submission and imports the data into the user’s “sandbox.” Transactions uploaded in this manner are subjected to the same compliance verifications and business rules as if they had been entered into the system manually.

All files are processed asynchronously, so in the case of an extremely large file, the system provides status on the progress and allows the user to continue with other system activities while waiting for the import to complete.

The first step in the import process is to check the validity of the file format. If the file is properly formatted (correct number of columns/headers etc.), the file continues to the detailed record validation process. If not, the file is rejected with an alert to the user as to the problem. During the record validation stage, all records without error are successfully stored. If errors exist with any transactions that prevent successful upload (letters in number fields, missing required fields etc.), the system returns an error file containing those erroneous records to the user. The description of each error is included next to the transaction, and the user may rectify the error(s) directly in that file and then re-upload it.

The templates for uploading contributions and expenditures are provided to the filers on the Website, along with other downloadable files that provide contributor IDs and other information that help prevent errors and minimize duplicate records. PCC's CFIS also supports data imports from 3<sup>rd</sup> party campaign reporting software such as Aristotle, NGP, Fundraiser, VAN, etc.

### 1.6 Search Capabilities

PCC's CFIS provides public and internal users with a state-of-the-art, Web-based interface with robust search and results display features. Users can search for filers and filed campaign material based on a variety of search criteria. Although already extensive, the search criteria available to the public or agency users can be tailored to the needs of the Division of Elections.

The following are just some of the ways the data within the system can be queried:

- Statements of organization: committee type, committee/candidate name, election, office, committee status, registration date range, etc.
- Campaign statements: reporting year, reporting period, committee ID, committee name, office, report filed date range, etc.

Where applicable, the criteria screens have 'type-ahead' search fields that allow the users to begin typing and the system will dynamically retrieve the data for the user to make a selection. For example, when a user starts typing a committee name, the system shows all the possible committees that start with that name. The solution also allows the users of the system to search for individual transactions such as contributions and expenses based on various criteria.

- Contributions: contributor type, contribution type, contributor name, reporting year, reporting period, amount range, etc.
- Expenses: expense purpose, office, amount range, payee name, reporting year, reporting period, etc.

In all cases, search results are presented in highly interactive "grids" that allow data to be manipulated and exported in a variety of ways. Columns can be sorted, dragged, and moved for logical proximity, and filtered using hundreds of pre-determined parameters. Rows can be grouped by any field to provide organization and sub-totaling for extensive results, and advanced paging makes for easy access to all records. All of these features and more come in the most technically advanced Web disclosure architecture available, ensuring that even hundreds of thousands of results are returned to the public user with sub-second response times. Of course, we would like to note that a user's personal Internet connection speed may affect timing. Figure 3, Sample Search Screen shows a typical search screen.

View Expenditures / Outstanding Obligations Information ?

Payee Type --Select Payee Type--	Payee Last Name / Business Name [Text Box]	Payee First Name [Text Box]	Street [Text Box]
City [Text Box]	State --Select State--	Zip Code [Text Box]	
Expense Category --Select Expense Category--	Expense Purpose IT - Campaign Computer Equip	Committee Name (Payer) [Text Box]	Committee Type Candidates Committee
Date Range [Date] To [Date]	Amount Range (\$) [Text Box] - [Text Box]	Filing Year --Select Filing Year--	Filing Period Name --Select Filing Period--
<input type="button" value="Search"/> <input type="button" value="Clear"/>			

Drag a column header and drop it here to group by that column

Expenditure Date	Payee Name	Address	Payee Type	Amount	Committee Name	Expense Category	Expense Purpose	Expense Method	Vendor	Fundtype	Comments
07/12/2011	Susan L. M. Aumann	538 Wynette Road, Timonium, MD 21093	Self (Candidate)	847.00	Aumann, Susan For Delegate	Purchase of Equipment	IT - Campaign Computer Equip	Check		Electoral	Purchase I-Pad
10/25/2011	Joseph Gelly	3270 York Street, Manchester, MD 21102	Individual	582.00	Gelly, Joe Marylanders For	Purchase of Equipment	IT - Campaign Computer Equip	Check		Electoral	Media Projector

Figure 3 –Sample Search Screen

In addition to standard advanced search capabilities, the proposed solution includes a no-cost, built-in, Web-based ad-hoc query tool for authorized users to create custom reports by querying various pre-defined database views without the need of using expensive 3<sup>rd</sup>-party tools. The report generation tool provides an easy to use designer for end-users to create custom reports and queries. The results are displayed in a smart-grid that supports several features, such as group-by, drill-down, sorting and filtering. The data in the results grid can be exported to different file formats (XML, PDF, Excel, HTML, CSV, etc.). Ad-hoc reports can be saved and assigned to a single user or a group of users for re-use. Figure 4 on following page shows the ad-hoc query tool and Figure 5 shows how the results would display.

Ad-hoc Query Tool

Select Saved Query:

View Name:

Select Fields

Available Columns		Included Columns	
ChairpersonName		CCF_ID	
ChairAddressLine1		Committee_Name	
ChairAddressLine2		FilingPeriodName	
ChairCity		Due_Date	<input type="button" value="Move Up"/>
ChairState		FiledDate	
ChairZipCode		ViolationAmount	
TreasurerName		Amount_Paid	<input type="button" value="Move Down"/>
TreasurerAddressLine1			
TreasurerAddressLine2			
TreasurerCity			

Criteria

Selection Criteria

Order By

CCF_ID			
Committee_Name			
FilingPeriodName			
Due_Date		<input type="button" value="ASC &gt;"/>	
FiledDate		<input type="button" value="DESC &gt;"/>	
ViolationAmount		<input type="button" value="&lt;"/>	
Amount_Paid		<input type="button" value="&lt; ALL"/>	

Query Name

Figure 4 – Ad-hoc Query Tool

Ad-hoc Query Result (User Admin) ?

Drag a column header and drop it here to group by that column

ECF_ID	Committee Name	Filing Period Name	Due Date	Filed Date	Violation Amount	Amount Paid
01000012	Guthrie, Dian F Citizens to Elect	Annual	01/16/2013	02/11/2013	170.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Annual	01/19/2008	01/19/2008	10.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Post-General	11/28/2009	04/20/2007	250.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Pre-General	10/27/2006	04/20/2007	250.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Pre-Primary	08/15/2006	04/16/2007	250.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Pre-Primary	08/01/2006	04/16/2007	250.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Annual	01/17/2007	04/20/2007	250.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Pre-Primary	08/14/2007	08/15/2007	20.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Annual	01/19/2008	01/17/2008	10.0000	0.0000
01000013	Kulzer-Khi, (Karen) Citizens for	Annual	01/21/2009	05/01/2013	250.0000	0.0000

Displaying items 1 - 10 of 2838

Figure 5 –Ad-hoc Query Result

Finally, our CFIS has a web services based External Interface Module. This module can expose or consume data through multiple methods including XML/Web services, file transfer, and ODBC. All basic system components, including committee information, filing data, contributions, expenditures, loans, and violations, have pre-built application programming interfaces.

### 1.7 Reporting Capabilities

With CFIS, users can run a variety of canned reports, such as mass media activity, PAC and party bank designations, and campaign finance disclosure reports on specific candidates or parties, as well as running reports with the ad-hoc tool. The ad-hoc tool has been proven invaluable for providing agencies with unlimited reporting capabilities without the need for custom programming. All reports, whether canned or ad-hoc, can be exported to Excel, PDF, or CSV.

### 1.8 Paper Filers and Imaging

All the registration statements, campaign reports and other scanned documents (in various formats) are all indexed and stored in PCC’s CFIS electronically. In addition, the application comes with a built-in scanning and indexing module. This allows the administrators to scan any paper copy filings and other documents and index them to the appropriate committees automatically using barcode technology.

PCC’s CFIS also supports 3<sup>rd</sup> Party Imaging and Capture software such as Kofax.

## **2 Project Timeline**

The timeline needed to implement PCC's CFIS depends on the level of configuration, number of users, and the data conversion complexity that the jurisdiction requires. We have implemented in as little as 3 months and as many as 18 months. Based on the specific requirements of the FLDOS we estimate the implementation could take between 12 and 18 months. This is based largely on the massive scope of data conversion and training required to successfully migrate so many systems and jurisdictions to the new environment.

### **3 Estimated Licensing and Maintenance Fees**

PCC offers a tiered one-time license to support jurisdictions with varied sizes:

Statewide Enterprise License: \$2,000,000 that would include licenses for all state/county/municipal jurisdictions.

Should the Division of Elections prefer to purchase the licenses singularly at the jurisdiction level the estimated pricing is as follows:

State: \$250,000

Large County/Municipality: \$125,000 per jurisdiction

Medium County/Municipality: \$60,000 per jurisdiction

Small County/Municipality: \$25,000 per jurisdiction

Maintenance Fee varies based on several criteria including service level agreements, help-desk levels, jurisdiction specific enhancements, onsite support and hardware and infrastructure support. The average Maintenance Fee ranges from 10% to 20% of total license and customization fees.

In addition, to standard licensing and maintenance fees, PCC also offers pay as you go or monthly subscription based licenses for our cloud-based implementations.

### **4 Estimated Data Conversion Fee**

State Data Conversion Costs: \$50,000 to \$100,000

County/Municipality Conversion Costs: \$12,000 to \$50,000

### **5 Estimated Customization Fee**

\$200,000 to \$500,000

the 1990s, the number of people in the UK who are aged 65 and over has increased from 10.5 million to 13.5 million (19.5% of the population) (ONS 2002).

There is a growing awareness of the need to address the health and social care needs of the ageing population. The Department of Health (2001) has set out a strategy for the UK, which includes a commitment to 'improve the health and social care of older people'. The strategy also includes a commitment to 'improve the lives of older people by promoting their independence, dignity and respect'.

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Q U E S T  
I N F O R M A T I O N S Y S T E M S

Quest Response to the Florida  
Department of State, RFI for  
Statewide Electronic Filing System  
(SEFS)

November 13, 2013

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RFI-09-13-1

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October 25, 2013

Re: Response to Florida Department of State

RFI-09-13-1

Ms. Vonda Murray  
Purchasing Director  
R.A. Gray Building, Room 428  
500 South Bronough Street  
Tallahassee, FL 32399-0250

Dear Ms. Murray:

Quest Information Systems, Inc. (Quest) appreciates the opportunity to submit a response to the Florida Department of State Request for Information (RFI) for a Statewide Electronic Filing System (SEFS), RFI-09-13-1.

With over 17 years of experience developing and implementing election-related solutions in six states, Quest is confident our team is the right partner to deliver systems that meet the Florida Department of State objectives.

We look forward to providing support in the analysis and planning stages, and in determining how best Quest may assist the State to move forward.

Sincerely,

A handwritten signature in black ink that reads 'Steve M. McNear'.

Steve M. McNear

President & CEO  
smcnear@questis.com  
Phone: 317-806-8821  
Fax: 317-806-8821



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Qualifications	2
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## Introduction

Quest understands that, as part of a legislative proposal required by section 16 of chapter 2013-37, Laws of Florida, the Division of Elections, a division of the Florida Department of State, the Division of Elections is estimating and analyzing the cost to develop, implement and maintain campaign finance Statewide Electronic Filing System (SEFS).

Based on the information provided in the Background Section of the RFI, Quest understands that the Florida Department of State is interested in a Statewide Electronic Filing System solution that ...

- Accommodates filing of statutorily required treasurer reports as filed by state, county, and municipal-level filers with the respective filing officers.
- Provides a paperless solution.

In addition, the system should have the following functionality:

- on-line filer registration
- account information management
- security management
- email notification
- defining of report due dates
- auditing reports
- notifying filers for failing to file reports
- calculating fines for filing late reports
- online system for public access to all state, county and municipal filer information not exempt from public record

## Qualifications

### Business Overview



Founded in 1989, Quest Information Systems, Inc. (the “Company” or “Quest”) provides end-to-end *election software solutions for state and local governments via a cloud-based SaaS model*. Customers in the Company’s chosen markets turn to Quest for software design, development, testing, training and deployment as well as maintenance, support, cloud-based hosting and ongoing management of applications after implementation. Under the FirstTuesday® trademark, the Company offers packaged solutions to governmental agencies responsible for election-related matters. The Company opportunistically develops software for other governmental and non-governmental entities. The primary focus of the Company’s expertise is with large-scale, enterprise applications that are critical to certain legislated state functions.

Quest’s specialization in the government sector has resulted in a strong presence with the nationally recognized FirstTuesday® brand. Quest has implemented its HAVA/NVRA-compliant, statewide FirstTuesday® Voter Registration solution in Indiana and Virginia, and FirstTuesday® Campaign Finance solutions in Alabama,



Colorado, Indiana, Maine, and Rhode Island. Since implementation, each customer has contracted with the Company to provide application support, maintenance and, with few exceptions, cloud-based hosting. Contributing to Quest's success is a thorough understanding of the many regulatory, financial, and political factors facing customers, as well as pressures impacting the government sector.

Historically, Quest developed large scale applications for customers in a variety of industries. Customers, many of whom were in the commercial sector, had software solution needs that weren't met through traditional commercial-off-the-shelf (COTS) software. Each customer's needs were unique to their organization and, as such, so were the application development and maintenance requirements. Quest management recognized that the business could be improved by leveraging previous success in government markets, allocating more resources to packaged solutions for state governments and specializing in the elections market with solutions based on software the company had developed as one-time custom applications – solutions branded as FirstTuesday® Voter Registration and Campaign Finance.

Within the government solutions market, Quest's primary business goal is to be a leading provider of software election solutions and services for state and local governments. Key business objectives include:

- Provide mature, reliable elections solutions to state and local governments using the latest information technology
- Provide comprehensive election solution management that engenders customer confidence
- Provide help desk and support services to achieve the highest levels of customer satisfaction
- Be recognized by customers as a business partner whose sole mission is to help them succeed.
- Be a resource to customers as market changes are occurring. Ensure that the technology and solutions continue to evolve with the customers.

A timeline of major events in the company’s history is provided in the following chart.

Quest Timeline	
Year	Event
1989	Quest is founded and incorporated in Indiana
1996	First voter project for Indiana Election Division
1998	1 <sup>st</sup> generation IN Campaign Finance implementation
2002	Maine and Rhode Island Campaign Finance
2004	Indiana Statewide Voter Registration System
2005	Virginia VERIS Voter Registration
2006	Trademarked FirstTuesday®
2008	Colorado FirstTuesday® Campaign Finance
2012	Alabama FirstTuesday® Campaign Finance
2013	Maine upgrades to FirstTuesday® Campaign Finance
2013	City of Albuquerque selects FirstTuesday® Campaign Finance

Quest is led by Steve M. McNear, Founder, President, CEO and Owner and is headquartered in Indianapolis, IN.

Our Management Team consists of:

Steve M. McNear, President and CEO

Jeff Clancy, VP Client Services

Chris Horne, Program Manager, FirstTuesday Solutions

We offer solutions in the following areas:

**Government Solutions** – Provide a suite of election-related software solutions for voter registration, campaign finance, and electronic pollbooks to provide technology solutions that meet citizen and regulatory requirements.

**Application Development** – Build, modify and integrate custom software to support core organizational functions.

**Application Management** – Utilize a full range of support services to manage software throughout its life cycle.

**Hosting Services** – Partner with Verizon/Terremark to host customer applications, including those for voter registration, campaign finance reporting, and other mission-critical applications.

### **The Quest Team**

The Quest team of voter registration and campaign finance subject matter experts, election specialists and technology professionals has more than 75 years of collective experience implementing and supporting voter registration software solutions designed to comply with relevant election laws---HAVA, NVRA, UOCAVA, MOVE, and others. Since 2005, our voter registration support team has managed HAVA-compliant systems in Indiana and Virginia, each of which is based on Quest’s FirstTuesday, a voter management system designed specifically to comply with the Help America Vote Act of

2002 and customized for each state's unique requirements. In addition to common voter registration and management functions, Quest-supported solutions include public web sites for voters, online voter registration, campaign finance reporting websites, electronic poll book, redistricting, election management, poll management, and correspondence management as well as document scanning and barcoding.

The Quest project team members have extensive backgrounds in the FirstTuesday solutions, as well as in other software development projects. They have gained broad and deep knowledge of the election-related services domain, having worked with state officials, campaign finance officials, filers, committee accounting software vendors, public online users and agency staff. They are intimately familiar with the FirstTuesday application software for purposes of both implementation and support of Quest customers. Brief overviews and/or full bios are available upon request.

Quest's approach to projects such as that identified in RFI-09-13-1 is to first understand the Florida Department of State's objectives, determine the potential fit of the FirstTuesday solution (configured/modified to meet the State's requirements), and make recommendations for moving forward with a solution.

Quest's value can be realized by leveraging:

- A team of experts---in both the domain and technology
- "Lessons Learned" experience from multiple implementations
- Guidelines for requirements planning, scoping, development and implementation
- Services to offload customer staff
- Insights into future trends, improved functionality, and industry expertise

## Requirements

Quest understands that the Florida Department of State has identified a basic set of functionality/requirements for the implementation of a Statewide Electronic Filing System (SEFS) as identified in this RFI.

In the RFI, the Florida Department of State has posed the following:

1. What features does the election software offer?
2. What is the typical timeline for the development of the required product?
3. What is the estimated licensing and maintenance fees for state, county and municipal filing officers?
4. What is the estimated data migration fee for state, county and municipal data?
5. What is the estimated fee for customizing the software so it complies with Florida laws and rules?

Quest responses follow:

## 1. What features does the election software offer?

FirstTuesday® solutions offer the following functionality specifically identified by the Florida Department of State:

- filing of statutorily required treasurer reports (state, county, municipal filers)
- on-line filer registration
- account information management
- security management
- email notification
- defining of report due dates
- auditing reports
- notifying filers for failing to file reports
- calculating fines for filing late reports
- online system for public access to all state, county and municipal filer information not exempt from public record

### **Description of Products & Services**

The Quest FirstTuesday® solutions -- Campaign Finance, Voter Registration and ePollbook -- are cloud-based, Software-as-a-Service (SaaS), and offerings.

FirstTuesday® election solutions, and the majority of Quest business is with customers who manage their operations using FirstTuesday®, this section will be devoted to a descriptions of the Campaign Finance product and services in the First Tuesday suite, as well as the unique needs of customers who use them.

FirstTuesday® adoption process follows a series of structured steps, typical for major application system implementations, including project planning, thorough requirements study, customization, configuration, data conversion, testing, training and deployment. After implementation, FirstTuesday® support is delivered through monthly services – call center, help desk and support; maintenance; application proficiency management; and managed hosting. FirstTuesday® is extensible and undergoes regular enhancement projects throughout the year.

State customers request enhancements to satisfy changes in state and federal election laws, which, typically occur each legislative session. In addition, elected officials regularly seek enhancements to better serve voters, improve efficiencies at the state and local levels, and, leverage emerging technologies. Quests' suite of products are the end result of many years of participation in election markets, collaborations with state and local election officials, and years of time and effort invested in development of these products and technologies.

FirstTuesday® Voter Registration and Campaign Finance were designed and developed, working closely with state and local election officials, experts in election law and processes. Benefits include software designed by election officials for election officials, comprehensive solutions and efficient processes encapsulated in the applications.

FirstTuesday® solutions are built on widely-adopted Microsoft technologies that are continuously improved by Microsoft and relied upon by almost every major organization in the world. Benefits include a large pool of technology experts with access to a variety of support services and cost-effective technology investments.

**Cloud-based application delivery and management.** Benefits include easily scalable solutions that can be quickly deployed with very little investment of time or money.

**Extensible software architecture** that leverages the popularity of mobile access and social trends, both of which lend themselves to the voter-centric world of elections.

### **Primary Products – FirstTuesday® Campaign Finance**

FirstTuesday® Campaign Finance is a comprehensive, mature, reliable software solution designed to manage all the elements associated with public filing requirements for political entities – candidates, committees, PACs, lobbyists, contributors, contributions, expenditures, loans, filing schedules and penalties. Unlike software used by political committees to raise funds and manage donor relationships, FirstTuesday® Campaign Finance supports state government programs whose purpose is to ensure transparency, accuracy and accountability in the financial management of political

candidate committees as well as other entities such as PACs, lobbyists and issue committees. Federal and state campaign finance laws require regular financial reporting with strict rules for contribution limits, donor identify disclosure, donor tracking and use of campaign funds. In addition to reporting requirements, the intent of the law is accomplished by disclosure through a campaign finance public web site where interested individuals can view campaign report filings and search campaign data by various criteria such as year, candidate, committee, contributor and dollar amount.

Business processes supported by FirstTuesday® Campaign Finance are required by law with specific rules and regulations, and are highly visible to citizens, the media, and political activists. Therefore, applications and web sites must be reliable, available 24/7, secure, high-performance systems with requisite redundancy.

FirstTuesday® Campaign Finance ensures customers are in compliance with federal campaign finance laws and regulations as administered by the Federal Election Commission as well as state campaign finance laws. Federal laws govern national offices such as President, Vice President and Congress, though states may also pass laws to govern campaign finance disclosure requirements for their Congressmen and Congresswomen. State and local offices are governed by state campaign finance laws.

As of this writing, FirstTuesday® CF is used by Alabama, Colorado, Indiana, Maine and Rhode Island, whose public web sites can be viewed at the following links.

Alabama – <http://fcpa.alabamavotes.gov/PublicSite/Search.aspx>

Colorado – <http://tracer.sos.colorado.gov/PublicSite/homepage.aspx>

Indiana – <http://campaignfinance.in.gov/PublicSite/Homepage.aspx>

Maine – <http://www.mainecampaignfinance.com/public/home.asp>

Rhode Island – <http://www.elections.state.ri.us/finance/>

## Standard FirstTuesday® Campaign Finance features include:

<b>Function</b>	<b>Description</b>
<b>Committee Registration</b>	Provide state-required information to register a committee and a candidate for office
<b>Committee Management</b>	Support committee registration, legal status, type, address, officials
<b>Campaign Finance History</b>	Maintain campaign finance, committee and filing history indefinitely
<b>Contribution Search</b>	Search campaign filing data by various criteria
<b>Manage Filing Schedules</b>	Maintain committee filing schedules
<b>Public Finance Disclosure</b>	Monitor funds for candidates and committees
<b>Receipts &amp; Expenditures</b>	Manage & monitor sources and uses of funds
<b>Document and Correspondence Management</b>	Scan filing documents, link to committee record & retain for public viewing. Maintain out-going correspondence linked to committee.
<b>Electronic Filing</b>	Allow committee to upload report filing data via a secure committee web site. Includes extensive validation to ensure data accuracy.
<b>Filing Report Data Entry</b>	Allow committee to enter report filing data via secure committee web site forms. Includes extensive validation to ensure data accuracy.

Public Funds Matching	Disclose public funds matching
Fine Management	Maintain fines, opinions, sanctions & other legal action taken against/for committees. Manage fine accounting.
Standard Reports & Extracts	Dozens of operational reports for committee financial managers as well as state administrators

Because each state enacts unique campaign finance disclosure and reporting laws, specific jurisdictional processes and terminology, and requirements based on how campaign finance reporting is managed and conducted in the state, Quest tailors the FirstTuesday® CF solution to model each states’ specific legislative and business requirements. The core FirstTuesday® software is common for all states and includes unique business rules required to comply with each states’ laws. A number of the business rules are configurable and managed via database tables.

The following is an excerpt from a letter from Scott Gessler, Colorado Secretary of State, regarding the Colorado Campaign Finance solution project.

**Colorado Campaign Finance [TRACER]**

“Quest has been an outstanding business partner throughout the development and implementation of the TRACER system and during subsequent system enhancements. Thank you and your team for your dedication and commitment to this project.”



*Scott Gessler*  
*Colorado Secretary of State*

The following table illustrates characteristics of each state’s FirstTuesday® CF implementation:

Description	Alabama [FCPA]	Colorado [TRACER]	Indiana [CF]	Maine [CF]	Rhode Island [ERTS]
Services	Call Center; Help Desk (Tier 1); Tier 2 & 3 Support; Maintenance; Managed Hosting	Call Center; Tier 2 & 3 Support; Maintenance; Managed Hosting	Call Center; Tier 2 & 3 Support; Maintenance; Managed Hosting	Call Center; Tier 2 & 3 Support; Maintenance; Managed Hosting	Call Center; Tier 2 & 3 Support; Maintenance; Managed Hosting
Contract Date	2007	2008	1998	2002	2001
Contract Agency	Secretary of State	Secretary of State (Dept. of State)	Election Division (Secretary of State)	Governmental Ethics & Election Practices	Board of Elections (Secretary of State)
Production Date	2013	2010	2000	2002	2002
Support Hours <sup>1</sup>	9:00a – 6:00p EST	9:00a – 6:00p EST	7:00a – 5:00p EST	7:00a – 5:00p EST	7:00a – 5:00p EST
<b>FirstTuesday® Campaign Finance Customer Statistics:</b>					
Filers	493	5,000	2,047	1,631	925
Committee Reports Filed per Year	1,456	13,865	3,601	10,546	69,531
Committee Report Line Items per Year	30,810	264,182	157,332	54,163	59,018
Contribution \$ per Year	15,688,885	54,636,032	77,200,701	25,063,112	10,287,062
Contributions per Year	24,146	208,553	116,856	30,368	33,550

Note: 1 Supports Hours show normal periods during which support is provided. Customers may contract for extended support during specific days around election or filing dates.

## 2. What is the typical timeline for the development of the required product?

Implementation of the FirstTuesday® solution generally takes ten months from the kickoff to the go-live dates. The first month, is generally reserved for a discovery, analysis, and general information gathering period, during which the individual legislative and business requirements are defined and documented. In addition, the overall project is scoped during this time and a project plan is developed.

The next six to eight weeks are dedicated to analyzing and converting the state's existing voter registration data from its current state into the FirstTuesday® database.

Considerable time is taken during this phase to develop standardized import procedures and verification processes to ensure the data continues to be represented accurately.

This is done in parallel with customization of the user/committee registration portals, which will populate the database once the system goes live. Once complete, users are trained on the use of these features and documentation is presented to the State.

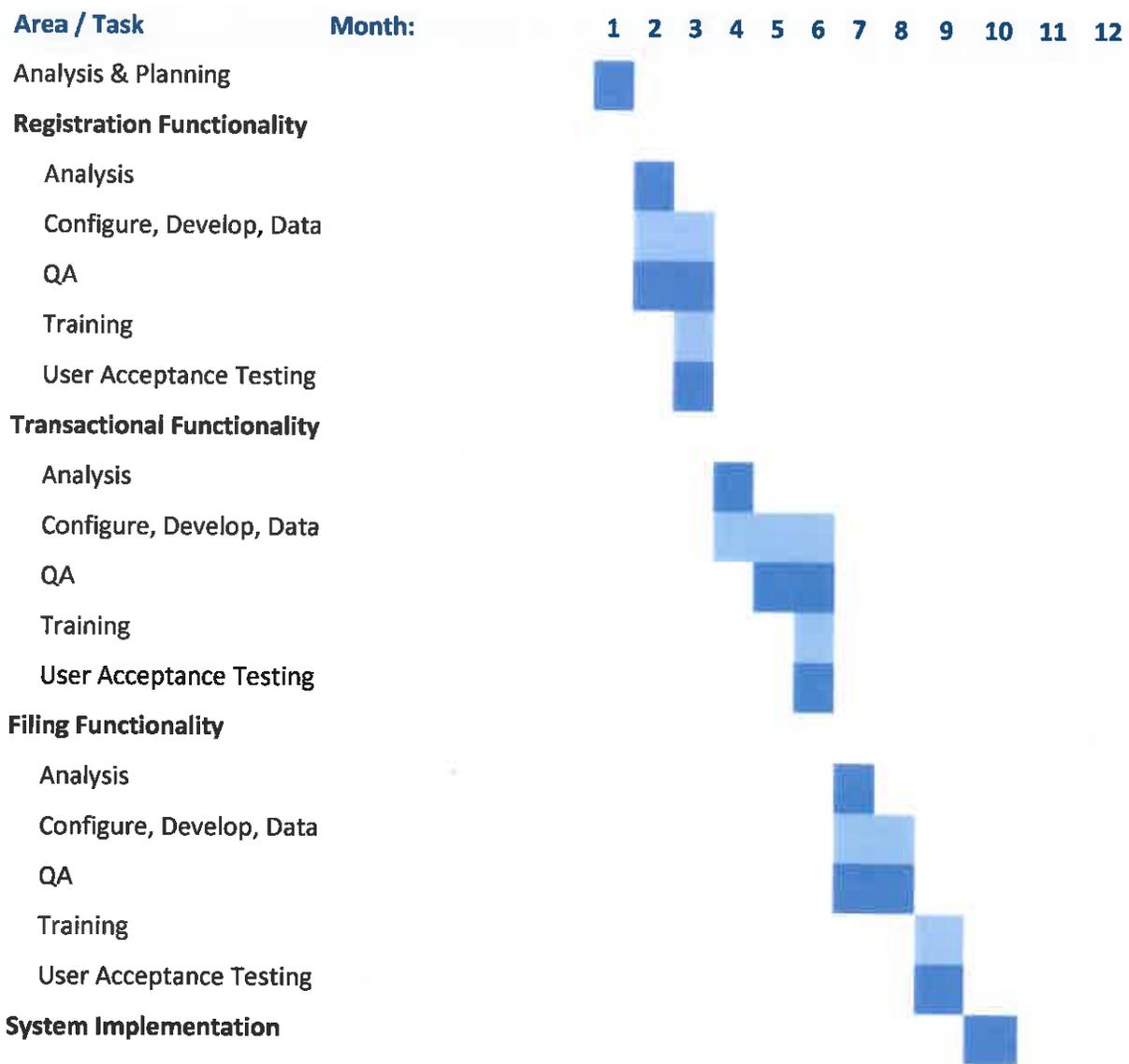
With the registration system complete, the day-to-day transactional components of the system are customized to the state's requirements as documented in the first month.

This represents the most significant piece of work to be done, generally eight to ten weeks, as this correspondingly represents the bulk of day-to-day activity from the system end users. Special attention is paid during this phase to user interface experience, logical data flow, and overall system usability.

Finally, the report filing subsystems are implemented. As these present the greatest variability from state to state, this is the most difficult piece to estimate, though generally the work is completed within six to eight weeks. At the completion of this phase, the overall system is evaluated against a rigid, formal testing and verification process in order to ensure that all of the components are working properly and data is seamlessly and errorlessly transferred from one subsystem to another.

Once testing and verification are complete, the system is deployed in its final, live environment, and the state's users are trained on the software's use.

### Florida SEFS Migration -- Representative Timeline



- 3. What is the estimated licensing and maintenance fees for state, county and municipal filing officers?**
- 4. What is the estimated data migration fee for state, county and municipal data?**
- 5. What is the estimated fee for customizing the software so it complies with Florida laws and rules?**

For budget planning purposes, we have included a high-level breakdown of costs associated with campaign finance implementation, support and managed hosting. The figures were extrapolated by applying Quest's significant experience implementing and managing FirstTuesday installations on behalf of a number of states to data provided by the State. All figures were derived from estimates developed based on a team of Quest experts implementing FirstTuesday Campaign Finance as modified to satisfy the requirements of the RFI as we understand them. We make no claim that other solutions or project teams would be able to complete the work necessary to achieve the State's objectives according to the schedule and budget contemplated in Quest's response. Nor can we know if other firms envision the same scope of work on which we have based our estimates, schedule and budget. In areas where insufficient data was available to estimate scope, effort and costs, we have added qualifying footnotes.

## Budget Ranges by Implementation Task

The implementation tasks below comprise a typical FirstTuesday Campaign Finance project. We have included all the steps though your particular project may not require one or more of the tasks.

#	Description	Amount Range	
1	Solution Software License <sup>1</sup>	\$0	\$0
2	Project Management	\$50,250	\$93,750
3	Requirements, Analysis and Design	\$23,125	\$43,750
4	Customization and Development	\$123,750	\$330,000
5	Integration, Implementation and Deployment	\$11,000	\$19,250
6	Data Conversion	\$55,000	\$105,000
7	Testing and Verification	\$15,725	\$29,750
8	Training	\$8,500	\$14,875
9	Warranty [30 days]	\$0	\$0
<b>TOTAL IMPLEMENTATION BUDGET</b>		<b>\$287,350</b>	<b>\$636,375</b>

**Note 1: Software License** -- Quest grants a worldwide, non-exclusive, non-cancelable, nontransferable, perpetual, paid-up right and license to use, copy, modify and prepare derivative works of the FirstTuesday Campaign Finance software and documentation to the State, its agencies, offices and departments (including, but not limited to, the Office of the Secretary of State) and all political subdivisions in the State. This license permits them to allow State Authorized Users and other persons to have access to, and use, the FirstTuesday Campaign Finance software and any derivative works so long as the use is related to the governmental business of the State and its political subdivisions. This license does not grant the State or any other person the right to license, sublicense or distribute the FirstTuesday Campaign Finance software to any person other than the State and its political subdivisions.

## Monthly Support, Maintenance and Hosting Budget

For budget planning purposes, we have included a high-level breakdown of costs associated with campaign finance support, maintenance and cloud-based managed hosting. The figures were extrapolated by applying Quest’s significant experience maintaining, supporting, hosting and managing FirstTuesday installations on behalf of a number of states to data provided by the State. All figures were derived from estimates developed based on a team of Quest experts supporting and managing FirstTuesday Campaign Finance as modified to satisfy the requirements of the RFI as we understand them. We make no claim that other solutions or project teams would be able to the services necessary to achieve the State’s objectives according to the budget contemplated in Quest’s response. Nor can we know if other firms envision the same level of services on which we have based the budgetary figures below.

#	Description	Amount Range	
1	Call Center & Help Desk [Tier 1 Support]	\$5,000	\$7,500
2	Application Support & Maintenance [Tier 2 & 3]	\$2,000	\$3,000
3	Cloud-based Managed Hosting	\$2,000	\$3,000
<b>TOTAL MONTHLY BUDGET</b>		<b>\$9,000</b>	<b>\$13,500</b>

In responses to questions, the State indicated there are 410 municipal governments. However, for municipalities, no information regarding unique application requirements, the amount of historical data or the structure of the database was provided. Therefore, no estimates for implementation, support, maintenance and hosting FirstTuesday CF for municipalities have been provided. Call Center and Help Desk budget amounts may be higher but not substantially. Hosting costs would be higher but the amount of the increase is dependent on acquiring detailed statistics about municipal data storage requirements.

## Summary

Based on information provided in the RFI, online links and responses to questions, we have attempted to develop a reasonable range of budgetary figures for the State's consideration. We hope you find the information useful for planning purposes.

Quest welcomes the opportunity to discuss the State's needs in greater detail. Such discussions will allow us to better understand the State's unique requirements, enable us to refine estimates and provide budgetary figures that may more closely represent the investment required to implement, support, maintain and host a new campaign finance disclosure and reporting system to exactly meet the State's needs.

~ The Quest Campaign Finance Team





*Request for Information (RFI) Response,  
Statewide Electronic Filing System (SEFS)  
RFI  
For*



**FLORIDA DEPARTMENT of STATE**

*October 25, 2013*

## **EasyVote by Sivad Business Solutions History and Mission**

The EasyVote solution was developed in 2010 as a way to overcome the lengthy process issues that Georgia County Elections Offices were facing when changes were made to how in-person and mail-in advanced voting were handled for the state. In Georgia, EasyVote provides technology solutions for over 70 Georgia County Election Offices.

EasyVote by Sivad Business Solutions mission is to provide elections systems to county and state election offices. In today's environment it has become more difficult for election offices to hold timely, accurate elections. With ever changing regulations and laws, the ever watching eye from the media and advocacy groups, and reduced budgets, it is a must to have technology tools to assist with the running of elections. Our goal is to reduce the time it takes to perform election tasks and provide the data needed to make the most intelligent decisions. Sivad Business Solutions will listen to the needs of its customers and develop tools that are easy-to-use, cost sensitive, and are designed to the specific needs of each state's election offices.

**Sivad Business Solutions Executive Team** – The Sivad Business Solutions team is made up with a combination of experience from the software technology sector and former election officials.

**Ron Davis** – Chief Executive Officer

**Charles Davis** – Chief Financial Officer

**Chuck Giddens** – Chief Technical Officer

**Jim Pagett** – Executive Vice President & Chief Business Development Officer

**Sandy Phillips** – Director of Implementation and Training

**Ann Hicks** – Company & Solution Advisor, Former Director of Elections for the State of Georgia

## Responses to RFI Questions

### 1. What Features does the election software offer?

## EasyFile

### GENERAL INFORMATION

- Based on Microsoft's Azure Cloud Computing Architecture
- 100% uptime with fail over and redundancy
- Based on transactional processing so no submissions will fail to save
- Servers have automatic scaling to handle ever changing and seasonal usage
- Every State has their own set of server instances and databases

### THERE ARE 3 USER GROUPS:

1. Candidates/Elected Officials
2. Public (Voters)
3. Voter Registration/Registrar Users

### FEATURE LIST FOR CANDIDATES/ELECTED OFFICIALS

- Online Candidate and Elected Official Registration with feedback on approval/denial
- Online profile with photo and address/contact information
- View announcements/blog from their County's Voter Registrar
- Ability to file any and all Finance Reporting reports online in wizard format
- E-sign every filed document using password, Captcha and/or SMS/email dual authorization
- *Optional* -Mobile app (iOS/Android) to allow finger signing of each document filed
- Reminders via Email/SMS/IVR for approaching filing deadlines
- Complete history of all forms filed
- View complete history of communications with the Voter Registration office
- Ability to upload any paper form as JPG, PNG or PDF format
- Forgot Password reset/reminder
- Export a list of documents with dates of filing
- View general ledge to show fees/fines assessed for late filings
- *Optional* – online payment of fines and fees

### FEATURE LIST FOR PUBLIC (OPEN RECORDS REQUESTS)

- Ability to search all document filings that have been made available by Registrar
- Search by name and/or office for each County
- Download and view any public documents associated with any Candidate/Elected Official
- Signup for email notification upon filings by specific Candidates/Elected Officials

## FEATURE LIST FOR VOTER REGISTRATION OFFICE

- Branded web site for each county with color scheme and logo displayed
- Ability to post “blog” entries for public and Candidates/Elected Officials to view
- Approve or Deny access requests made by Candidates/Elected Officials
- View and print all filed documents for each Candidate/Elected Official
- Ability to make document available to the public for any Candidate/Elected Official
- Accept or reject any filed document back to the Candidate/Elected Official
- Track the status of every filed document from Candidates/Elected Officials
- Mark filed documents as uploaded/updated on the State’s System
- Export the list of accepted filings for importing into State’s System via JSON/XML for bulk update
- Upload paper documents that have been scanned to any Candidates/Elected Official profile
- Update and/or approve photo that shows in the public
- Notifications of new filings by Candidates/Elected Officials
- Send bulk SMS/Emails to all Candidates/Elected Officials or subgroup
- Direct SMS messages to Candidates/Elected Officials and log in “chat window” format
- Maintain list of elected offices for the County
- *Optional* – Page scanner to scan and import existing paper documents (hardware cost)
- General Ledger to track fines/fees for each Candidates/Elected Officials
- Automatically assess fines/fees for late filings depending on your dates and amounts per county
- View online/in person payments and transactions for each Candidates/Elected Officials
- *Optional* – Setup credit card processing gateway to allow online payments of fees and fines
- Reports and exports to allow electronic updating of county accounting packages
- Manage deadlines and reminder dates for each required document type
- Complete log of all communications for each Candidates/Elected Officials
- Reports for each Candidates/Elected Officials to show communications and activity
- Dashboard to show percentage of Candidates/Elected Officials that have filed
- Dashboard also includes many charts and graphs to show breakdown metrics with drill down



Main Public Home Page

http://www.gaeasyfile.com/register.aspx Register for ... Windows Azure Android

# EasyFile

HOME CANDIDATES/OFFICIALS SEARCH COUNTY RESOURCES

## Registration is Easy!

**Step 1:**  
Select your County and complete the Registration form and click the Register button

**Step 2:**  
Your County Administrator will review your submission and approve you for access. This could take 1 minute or several days.

**Step 3:**  
Once approved, you will receive an email with instructions on how to complete the registration process. Click the link contained in the email to proceed.

**Step 4:**  
Complete your registration and begin submitting your Forms to your County Administrator

### Register for Access

**Select your County**  
DEMO

**Email Address**  
Email Address (required)

**Your First Name**  
Full Legal First Name

**Your Last Name**  
Full Legal Last Name

**Cell Phone**  
Cell Phone

**Office Occupying/Running For**

16207

Show another code

Type the code shown:

Register

Registration Page

http://www.gaeasyfile.com/officials/profile.aspx

EasyFile

HOME PROFILE LOGOUT

**My Profile**



**County News** | **File Reports** | **My Submissions** | **Communications** | **Fines/Fees**

 **DEMO**  
Not Selected  
404-580-7867

Date	Subject	
9/22/2013 4:00:00 PM	New filing Information	<a href="#">Read More...</a>
Make sure you file your documents before the end of the week or else you will be fined.		
9/20/2013 3:00:00 PM	Nation Voter Registration Act of 1993	<a href="#">Read More...</a>
Congress enacted the National Voter Registration Act of 1993, 42 U.S.C. 1973gg-5(a), (b), to enhance voting opportunities for every American and to remove the vestiges of discrimination which have historically resulted in lower voter registration rates of minorities and persons with disabilities. The NVRA has brought new voices to the political process by making it easier for all Americans to exercise their fundamental right to vote.		

**First Name**  
Chuck

**Last Name**  
Giddens

**Committee Name**  
Charles Giddens

**Chairperson**

**Address**  
150 Reserve Drive  
Covington, GA  
30014

[Edit Profile](#)

**Home**  
[Search](#)  
[Register](#)  
[The Laws](#)

**Contact Us**  
[Twitter](#)  
[Facebook](#)  
[Login](#)

**FIND US**  
1122 Monticello Street  
Suite 11  
Covington, Ga 30014

**CONTACT US**  
404.580.7867  
support@gaeasyvote.com  
Thank you.

Powered by  
**EASY** 

Candidate/Elected Official Home Page

http://www.gaeasyfile.com/officials/profile.asp

EasyFile

HOME PROFILE LOGOUT

My Profile



**First Name**  
Chuck  
**Last Name**  
Giddens  
**Committee Name**  
Charles Giddens  
Chairperson  
**Address**  
150 Reserve Drive  
Covington, GA  
30014  
[Edit Profile](#)

County News File Reports **My Submissions** Communications Fines/Fees

Created	Doc. Name	Status	Submitted	Acc/Rej
10/7/2013 3:16:27 PM	<a href="#">Declaration of Intent - Sheriff</a>	Waiting	10/14/2013 2:22:34 PM	NA
10/1/2013 4:22:23 PM	<a href="#">Declaration of Intent - IT Person</a>	Waiting	10/3/2013 1:37:01 PM	NA
9/30/2013 2:42:41 PM	<a href="#">Declaration of Intent - Sheriff</a>	Rejected	9/30/2013 2:45:11 PM	10/1/2013 7:46:28 PM
9/30/2013 10:59:18 AM	<a href="#">Declaration of Intent - asdf</a>	Accepted	9/28/2013 5:25:00 PM	10/1/2013 4:11:11 PM
9/30/2013 10:44:01 AM	<a href="#">Declaration of Intent - test</a>	Waiting	9/28/2013 5:35:00 PM	NA
9/30/2013 8:25:06 AM	<a href="#">Declaration of Intent - Sdfsdf</a>	Accepted	9/29/2013 4:34:00 PM	10/2/2013 5:09:28 PM
9/27/2013 2:05:33 PM	<a href="#">Declaration of Intent - Sheriff</a>	Rejected	9/29/2013 5:35:00 PM	10/2/2013 4:54:59 PM

Home Search Register The Laws Contact Us Twitter Facebook Login FIND US 1122 Monticello Street Suite 11 Covington, Ga 30014 CONTACT US 404.580.7867 support@gaeasyvote.com Thank you. Powered by **EASY**Vote

Submitted Documents List for  
Candidate/Elected Official

### Campaign Transparency Portal

The list below provide all of the Elected Officials and Candidates that are required to file Financial Reports in your county. You have complete access to all accounts, filings and history for each Official/Candidate.

Dashboard **Officials/Candidates**

#### Percent Submitted

#### Submissions that need to be Reviewed by the County

Date	Name	Doc Name	Status
10/7/2013 2:16:27 PM	Chuck Siddens	Declaration of Intent - Sheriff	Waiting
10/3/2013 4:22:23 PM	Chuck Siddens	Declaration of Intent - JT Person	Waiting
9/20/2013 10:44:01 AM	Chuck Siddens	Declaration of Intent - test	Waiting
9/27/2013 3:52:18 PM	Angela Manibe	Declaration of Intent - Sheriff	Waiting

#### Candidates vs Incumbents

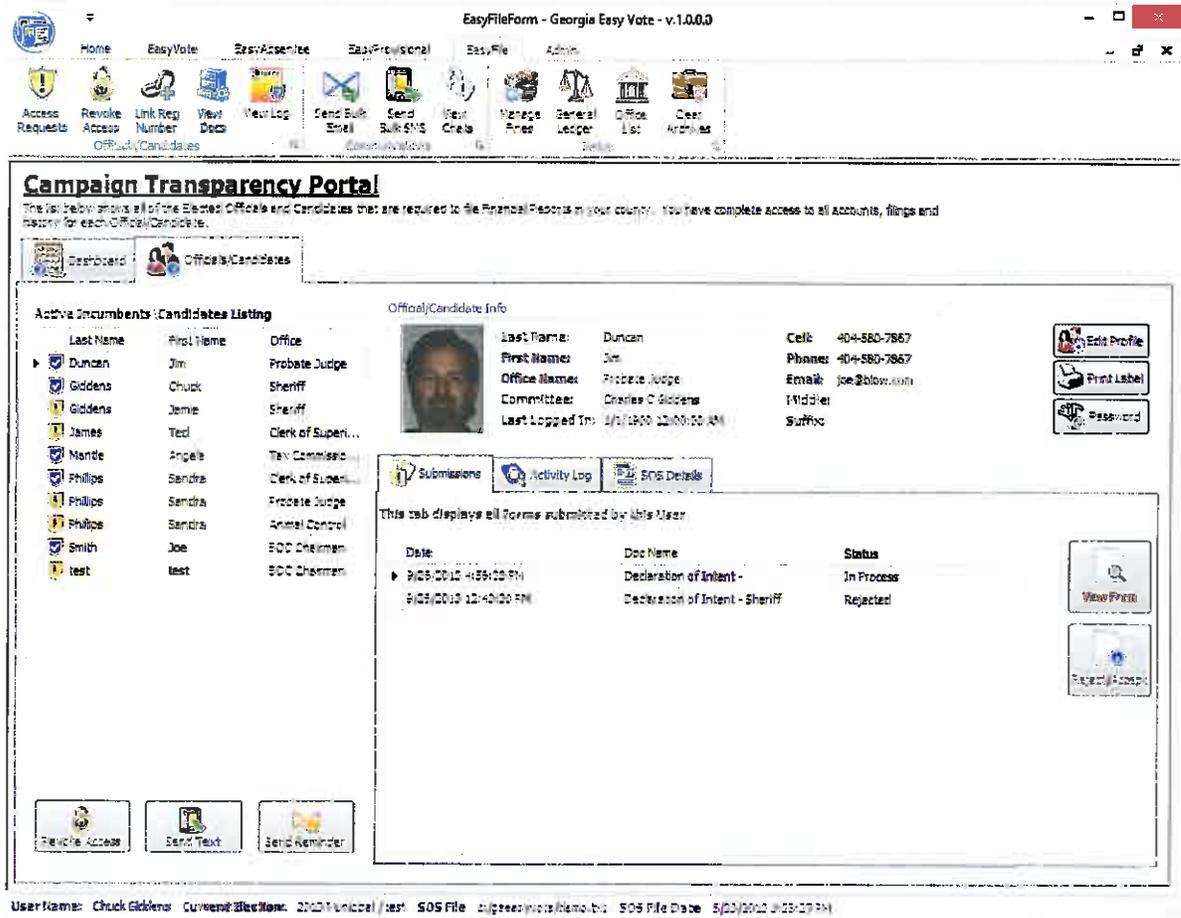
Incumbents: 2  
Candidates: 6

#### Office Type Distribution

Office Type	Count
Animal Control	1.0
Board of Commissioners	0.0
Board of Education	0.0
BOC Chairman	2.0
Clerk of Superior Court	2.0
Probate Judge	2.0
Sheriff	2.0
Tax Commissioner	1.0

User Name: Chuck Siddens Current Election: 2013 Municipal Test SOS File c:\gses\vote\data\bc SOS File Date 5/23/2013 3:28:27 PM

## County Voter Registration Office Dashboard



County Voter Registration Office Main Administration Screen

**2. What is the typical timeframe for the development of the required product?**

EasyFile is a current product that has been developed for the state of Georgia. It is estimated that the time frame to ensure that EasyFile meets Florida's needs and laws would be less than 5 months.

**3. What is the estimated licensing and maintenance fees for state, county, and municipal filing officers?**

The following pricing is based on every municipality and county as a member of the statewide solution. Pricing shown is a yearly cost due at the beginning of each year. Pricing includes all technical support and training to filing agents belonging to the municipalities and counties. No support will be offered to the general public using the system, with the exception of online help.

**Municipality Pricing**

<b>Total Population in Municipality</b>	<b>Yearly Price</b>
Less than 1,000	\$250.00
1,001 – 10,000	\$750.00
10,001 – 50,000	\$1,500.00
50,001 – 100,000	\$3,500.00
Greater than 100,000	\$5,000.00

**County Pricing**

<b>Total Population in County</b>	<b>Yearly Price</b>
Less than 25,000	\$2,500.00
25,001 – 100,000	\$3,500.00
100,001 – 400,000	\$5,000.00
Greater than 400,000	\$7,500.00

**State Pricing**

<b>State</b>	<b>Yearly Pricing</b>
Covers state personnel using system	\$25,000.00

We anticipate the total yearly cost for every municipality, county, and the state using the statewide solution to equal an amount estimated at \$750,000.00 to \$800,000.00.

**4. What is the estimated data migration fee for state, county, and municipal data?**

We estimate that the fee for migrating all data to be \$100,000.00. This does not include travel and expenses which will be added based on actual incurred costs.

**5. What is the estimated fee for customizing the software so it complies with Florida laws and rules?**

We estimate to customize the current EasyFile software to meet Florida laws and rules to be \$100,000.00. This does not include travel and expenses which will be added based on actual incurred costs.

REQUEST FOR INFORMATION (RFI)  
Statewide Electronic Filing System (SEFS).  
RFI-09-13-1 September 30, 2013

**VENDOR CONTACT INFORMATION** - The response must include the vendor contact information below listing the specific person(s) who are responsible for preparing the vendor's response. Each vendor should designate a specific contact person who will be responsible for responding to the Department if any clarifications of the vendor's response should become necessary.

**Vendor Name:**

Sivad Business Solutions / EasyVote

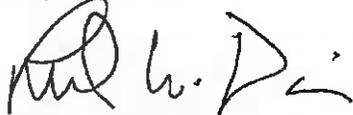
**Address:**

2021 Aldbury Lane

Woodstock, GA 30189

**Prepared By:** Ron Davis

**Title:** President



10/25/13

**Contact Person:** Ron Davis

**Title:** President

**Phone Number:** 678-215-1705

**FAX:** 855-467-4823

**E-mail Address:** rdavis@sivadsolutions.com

---





# Response to Request For Information 09-13-1 for Statewide Electronic Filing System (SEFS)



Prepared Exclusively for

## The State of Florida Division of Elections

**Proposer Contact Information:**

Michael Greenman,  
Director of Government Affairs  
5426 Bay Center Drive Suite 525  
Tampa, FL 33609  
(813) 865-7531  
(727) 385-4066  
[mgreenman@soesoftware.com](mailto:mgreenman@soesoftware.com)



## INTRODUCTION

SOE Software has put together the following information for the purpose of response to The State of Florida's RFQ #09-13-1. SOE is a leader in secure election modernization and has built one of the most comprehensive Campaign Finance management solutions being used today at either the state or county level. The ability to provide secure and reliable election innovation through our solutions is based on a collaborative approach to harnessing new election technology and aggressively supporting our clients that use this technology. Election technology now has moved across the boundary of a single vendor supplier, to election technology alliances that provide bundled solutions that can achieve the required goals of our clients for all stages of the election process. SOE's solutions achieve this and more – from protecting legacy investments in technology, to supporting the introduction and operation of newer technology.

What you will see from the response below is a solution that provides a simplified, streamlined process for your filers and a dynamic, elegantly designed public portal that will provide complete transparency into the states campaign finance process.

For over a decade, the SOE Software Clarity Software Suite - developed specifically for elections – has helped numerous government jurisdictions connect with residents, and voters, and our nationwide community continues to grow. Now serving over 2000 Cities, Counties and States - including 18 statewide applications, SOE Software will build your web campaign finance portal with the future in mind, through experienced and knowledgeable service and support to regular upgrades and enhancements that ensure your campaign finance process is state of the art and provides the functionality and ease of use that will get Florida recognition as a leader in election transparency. Here's how:

### THE SOE TEAM CLEARLY UNDERSTANDS YOUR STATED OBJECTIVES TO:

- Provide the State of Florida with a robust, sustainable software application to collect and present campaign finance information for all Florida filers via hosted, public web pages.
- Implement a cloud based system that is accurate and provides consistent system performance. It must be simple to use by all stakeholders (agency, committees, media, and other interested parties) for filing and retrieving data.
- Implement a system that follows best practices for application design, database modeling, and security.
- System is capable to meet the potential requirements detailed in any future RFP.



## UNIQUE VALUE OF SOE:

### EXPERIENCE

SOE is completely focused on the needs of election offices and how to help them do more with less. Our team of developers uses the latest technologies and software development methodologies to ensure the technology partnerships we develop are based on a sound foundation. SOE has extensive experience adapting our applications to provide smooth and simple user interfaces with a number of various state legacy application systems. This project delivery will be produced by a team of the industry's best designers, programmers, content developers and project managers who use those standards to build accessible and interactive solutions.

### SERVICE

Our mission is to produce the most usable, useful and effective web based election solutions. From design and development through training and launch, producing Florida's Campaign Finance Portal will be a collaborative effort. Our clients are our best references and will attest that our commitment to your success continues long after your product goes live.

### COMMITMENT

With the acquisition by SCYTL, the new organization has a truly global presence with over 26 years of combined election experience. Our portfolio of solutions has been designed specifically for elections and has a client base that consists of 15 countries, 32, states & territories, and over 2000 jurisdictions making us the most focused election technology provider in the world. Our organization has an 83% market share in the binding e-election space (15 of 18 countries); largest patent portfolio- 21 granted 20 pending; highest level of security- audited and certified by 12 governments across the globe; and our technology has helped manage over 100,000 elections. We are currently Florida's partner for ballot delivery and look forward to the opportunity to continue our partnership with our Cloud based Campaign Finance technology.

### SATISFACTION

Based on the requirements presented in this document SOE feels that we can provide the State of Florida with a superior campaign finance solution in the time frame you have laid out. Our conversion methodology and expertise in working with some of the largest government jurisdictions in the nation, with very complex legacy systems, and within the shortest timeframes are some of the reasons we are still in business after 14 years. No one else can match our experience and our service to you.

The following response outlines a secure solution that will greatly improve Florida's campaign filing process, reduce your staff's workload, provide cutting-edge functionality and, most importantly, provide The State of Florida with a sophisticated online resource that promotes open and transparent access to your campaign finance reporting system. We are looking forward to working with The State of Florida to demonstrate our commitment to your success.

## Clarity CFINANCE – ONLINE CAMPAIGN FINANCE FILING



SOE's Online Campaign Finance presentation tool provides an intuitive interface for the public, the media, candidates, political parties and committees to search for campaign finance data and create custom searches unique to each visitor. This solution gives your office the ability to provide complete disclosure of campaign finance data with minimal administration. This tool was designed to provide campaign finance information to the public (voters, candidates, political parties and media) to reduce time spent by your staff fulfilling public information requests, making copies, and assisting with research of historical finance data.

## ENHANCEMENT TO EXISTING WEB PRESENCE

The State of Florida's existing web presence can be enhanced to include training presenting campaign finance data disclosure. This new level of transparency to the Campaign Finance process will reflect very well on your office and the State of Florida.

### Highlights of the Goals and Objectives for this project include:

1. Provide an intuitive web-based interface for the public, media, candidates, political parties & committees to search for campaign finance data.
2. Provide campaign committee treasurers the ability to comply with existing campaign laws.
3. Expand the personalized search capability for every web visitor.
4. Continue the look & feel of the web presentation that web visitors are accustomed to.
5. Dynamic search capability expanded to include documents and images.
6. Customized icons for the most frequently requested search areas to include:
  - a. Candidates
  - b. Donors
  - c. Committees
  - d. Elections

## INTUITIVE WEB-BASED SEARCH CAPABILITY

In today's fast paced world of instant gratification and web access to information, expanding the reach of Florida's candidate and contribution portal is imperative. Legislative requirements, heightened scrutiny and demands for transparency are all addressed with this proposed solution. By providing a user friendly gateway to this desirable public information your office will empower every web visitor to search for and locate the information they desire, with minimal disruption to your staff's day-to-day efforts.





## CONSISTENT LOOK & FEEL FOR WEB VISITORS

Web visitors look for election information from Florida's elections web presentation. The consistency of that presentation is critical in rolling out any new information to the web. The proposed campaign finance presentation enhancement will leverage the look & feel that is currently in place to provide additional data to the public. This uniformity will ensure a smooth introduction to this new capability of enhanced campaign finance reporting.

## GRAPHICAL PRESENTATION OF DATA

Web visitors become frustrated quickly and will not spend much time utilizing ineffective search engines before picking up their phone and calling your office. To avoid this scenario and reduce the burden of inbound data requests, this public campaign finance presentation solution utilizes graphics and interactive features to engage web visitors and make it simple to find the information they are looking for **within three clicks**. SOE Software has experience using graphics through the presentation of State and County maps in Clarity ENR which is utilized at the state level in eight States.



## ROBUST HOSTING INFRASTRUCTURE

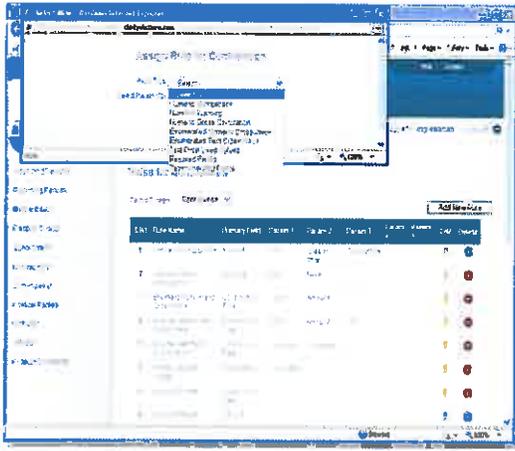
SOE Software hosts all modules of the Clarity Election Suite for over 1,800 customers across 36 States & Territories. Through the 2008, 2010 and 2012 General Elections, SOE Software's hosting backbone withstood millions of simultaneous web hits and maintained 100% uptime throughout the day and night. SOE Software is a proven hosted software provider and will continue that trend with the State of Florida.



## EXPERIENCE WITH STATES

SOE Software has been a vendor and a technology partner with State offices since 2007 when SOE was selected to provide elections software to the State of North Carolina. SOE Software has been selected for implementation of campaign finance software in North Carolina and West Virginia.





## RULES MANAGEMENT CONFIGURATION & AUDIT REPORT

The administrative portal of Clarity CFinance comes standard with the ability to customize the rules and feedback received by campaign finance filers at any time. This allows elections administrators to make changes quickly to adapt to the ever-changing nature of campaign finance laws. Once the rules are set and the filers submit transactions, a custom audit report will accompany every submission for easy verification.

## DEPTH OF EXPERIENCE IN FLORIDA

SOE's Clarity CFinance solution has been utilized in the State of Florida since 2002 when Hillsborough County was the first county to use SOE's web-based software applications, followed quickly by Pinellas County and many other counties. Currently, more than 30 counties in the State



use one or more of SOE's election software solutions joining more than 1,800 other jurisdictions across the country. The DNA within our solutions, including Clarity CFinance, is Florida-centric and built with our home state in mind. Operating out of Tampa, our focus is entirely elections-related and our tools speak to our growing and evolving nature since SOE entered the elections world in 2002. The future of SOE's solutions include modernizing the entire election administration process to include public-facing applications like campaign finance data, election results display and voter lookup, to back-office solutions such as voter registration, election management, forensic analysis, electronic ballot delivery and many other complementary solutions to the entire focus of election administrators here in Florida and across the country.

## RESPONSES TO QUESTIONS

### RFI QUESTIONS

#### 1. What features does the election software offer?

SOE's Clarity CFinance solution offers many features that have been utilized by counties here in Florida since 2004 and at the statewide level in North Carolina and West Virginia. For campaign filers such as candidates, committees and political parties, our tool provides access to information from anywhere with an internet connection and a simplified user interface that intuitively guides filers through the process of entering transactions and submitting reports in multiple common data formats such as. Additionally, filers benefit from a real-time error-checking service that prevents common issues such as incomplete information or incorrect information so that when the electronic submission is filed, the number of potential errors is greatly reduced. When the electronic file is received by elections staff for review and publishing, the filing is accompanied by an audit report that will allow reviewers to quickly see areas where potential issues exist within the report and offers the reviewers the ability to queue a letter to the filer for any corrections that need to be made. On the administrative side, SOE's Clarity CFinance solution provides a configurable, user-friendly work flow to create custom reporting periods, provide validation for entry of transactions, and assign offices to elections. This functionality is driven by a robust rules engine to provide feedback to filers as they enter transactions.

### RFI QUESTIONS

#### 2. What is the typical timeline for the development of the required product?

Depending on the final requirements of an RFP or purchase, the timeline could fluctuate between 6-12 months. The benefit of SOE and our experience is that we have an existing product that can be configured for custom requirements and we are already operating in some of the largest jurisdictions in Florida including Palm Beach County, Broward County, Sarasota County and others who have been using our product and our service through numerous major election cycles.

#### RFI QUESTIONS

3. What is the estimated licensing and maintenance fees for state, county and municipal filing officers?

SOE's pricing depends heavily upon final requirements, but SOE has delivered state-level enterprise solutions, including campaign finance filing software for all state and local filers in North Carolina for \$1 Million. SOE has also delivered similar solutions for more than that cost at the State level, so exact numbers will be hard to estimate until the final requirements are reviewed.

#### RFI QUESTIONS

4. What is the estimated data migration fee for state, county and municipal data?

As stated in the response to question #3, the total costs are going to be highly dependent upon the final scope of work, but migration fees and implementation fees are typically all-inclusive in SOE's delivery of any software application. For a solution that provides online filer registration, account information management, security management, and email notifications for all state, county and local filers, there will be many variables and custom configurations that need to be defined, so SOE will work with the State to find the most economical way to accomplish these goals.

#### RFI QUESTIONS

5. What is the estimated fee for customizing the software so it complies with Florida laws and rules?

As stated in the response to questions #3 & #4, the total costs are going to be highly dependent upon the final scope of work, but customization/configuration fees are typically all-inclusive in SOE's delivery of any software application. For a solution that provides online filer registration, account information management, security management, and email notifications for all state, county and local filers, there will be many variables and custom configurations that need to be defined, so SOE will work with the State to find the most economical way to accomplish these goals.

## CONCLUSION

Hopefully this document has provided you with a good baseline of information about what SOE is capable of providing. This response is a compilation of some of the most cutting-edge software that exists in the elections market today. Our methodology and approach is to be a service provider and consultant to assist in making our clients' processes and procedures work more efficiently and effectively while reducing the dependence on our services over the course of time through proper education and constantly improving our products for better usability.

SOE is an eGovernment company that specializes in elections technology and transparency and we seek to provide you with a long-term partner that looks ahead to the future of technology so you can focus on the other numerous tasks at hand. Below you will find my contact information if you should want to contact me for any questions. SOE Software aims to build a long-lasting partnership with Florida to provide elections technology to voters, the media and the public. I look forward to earning your business and personally assisting in any way I can to bring solutions that provide the most value to your operation.

Thank you, again, for your time and consideration!

Sincerely,



**Michael Greenman**

*Director of Government Affairs*

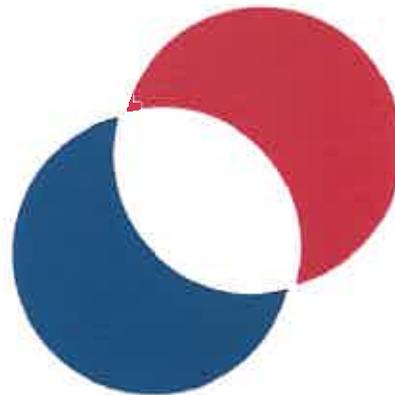
**SOE Software Corporation**

[mgreenman@soesoftware.com](mailto:mgreenman@soesoftware.com)

(813) 865-7531 (Office)

(727) 385-4066 (Mobile)

[www.soesoftware.com](http://www.soesoftware.com)



the 1990s, the number of people with a diagnosis of schizophrenia has increased in many countries (Murray & Lopez, 1996).

There is a need to understand the nature of the illness and the reasons for the increase in prevalence. The illness is a complex one, with aetiology involving genetic, environmental and social factors. The illness is also a chronic one, with a high rate of relapse and a high level of disability. The illness is also a costly one, with a high level of hospitalization and a high level of social care.

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**Florida Department of State  
Division of Elections**

**Statewide Electronic Filing System  
(SEFS)  
RFI Response**

**Project ID: SEFS-001**

**Sunsational Software Management LLC.**

**Creation Date:** October 04, 2013

**Last Updated:** October 14, 2013

**Version:** 1.1

**Purpose of Document**

The purpose of this document is to provide an approach for gathering detailed requirements associated with the design, development and implementation of a Statewide Electronic Filing System. The primary objective is to present the key areas of analysis for evaluation of a recommended project plan. The response will propose contracting with the response provider to formally analyze and document the requirements. Identify all interfaces and Data transfer requirements. Review document management options. It will also analyze communication methods and workflow processing and notifications. Formal analysis will give the Department of State solution choices for a full COTS (Customizable Off The Shelf) or modular approaches interfacing with existing applications. Upon thorough review of the information provided, DOS should be able to approve or disapprove of moving forward with Project startup.

The information included in this document represents a high level conceptual description of project objectives and other associated information that has relevance to the Statewide Electronic Filing System process for the Division of Elections.

Upon agreement on the Analysis Project, Subsequent Project Management documents will provide increasing levels of detail and will include a Full Project Plan.

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- IV. Project Scope Summary.....5
- V. Project Assumptions.....6
- VI. Project Constraints.....6
- VII. Project Dependencies and Related Efforts.....6
- VIII. Project Estimates.....7
- IX. Funding Mechanism.....7
- X. Understanding Agreement and Approvals.....7

# SEFS Analysis Project

## I. Project Background / Overview

The Florida Department of State (FDOS), Division of Elections, intends to automate the process for filing and reporting Campaign Financing Documentation.

Coordination of State, County and Municipal agencies filing and reporting will be integrated into the final solution. Maximizing the Electronic Documenting of Applications and Reports, and all other related materials will improve performance, efficiency, communication and reduce the cost of current resources needed to accomplish the same.

The SEFS Project will thoroughly analyze these manual processes. The SEFS Analysis project will define all potential points that could be automated with imaging and communicating technologies. Additional objectives of the project are: electronic notification of intake, system entry, assignment, tracking data, etc. Successful implementation of the Project will result in increased tracking and reporting of Campaign Finance activities for the State of Florida, staff productivity, enhanced security of confidential information, reduction of the time to process a Campaign Contribution, centralization of all data associated with it, among other improvements.

The SEFS Analysis Project will also incorporate Business Process Model (BPM) recommendations to assist staff in eliminating obsolete or redundant processes or steps to complete their tasks. Overall, the project will move DOS – Division of Elections to an integrated, efficient and technological platform for managing all aspects of Campaign Finance and correspondence associated.

## II. Project Goals

The primary project goal is to identify detailed requirements that will meet or exceed the functionality approved by the project stakeholders. Secondary goals would include: documenting all paper related items that would be open for electronic processing. Assessing workflow processes, assessing notification requirements and timelines. Additional goals could be defined during requirements gathering phases: online campaign contributions, fees and fines, etc. Development of a Public Information Portal will be design during this analysis.

Analysis and documentation of document security measures for confidentiality will be another key initiative of the project. Additional intermediate process improvement recommendations may be submitted for immediate implementation. The ability to electronically track the status of a contribution as well as the responsible parties assigned should be analyzed.

### **III. Project Objectives**

Upon completion of the analysis, a formal Project Scope document will be generated.

The Project Scope document will provide detailed information on the deliverables to be completed within the approved project objectives. For example, utilization of existing infrastructure equipment and Applications, definition of project phases in order to implement cost, time, and effort saving measures as soon as possible. This document will also include Build versus Buy recommendations by module required. Suggested project objectives are:

- Analysis and identification of all points of interaction of the Campaign Finance filing, reporting, notification and tracking for the Department of State, Division of Elections.
  - Identify all documents, tasks, responsible staff, processes and related items associated with the management of a contributions.
- Documentation of the current steps for the recording contributions by all units, at each level. State, County and Municipal. Any external agency required for notification.
- Analysis, design and documentation of a proposed SEFS Workflow that will be able to transition the processing of contribution, to electronic system.
- Identification of Project Stakeholders and documentation of current or new business requirements to insure that the project meets expectations.
- Creation of a detailed Scope Document that will provide an additional layer of detail of project deliverables.
- Application of Florida Statutes Section 287.012(22), at State, County and Municipal levels of the application and interfaces for retrieving data.
- Definition of Requests for Proposals, if necessary, based on the SEFS infrastructure requirements.
- Creation of a Project Plan and Timeline for status tracking, reporting and management.
- Identification of training requirements for use of the new system prior to conversion.
- Identify and obtain reasonable test and training environments, including hardware, software, and disk space resources.
- Configuration of Development / Test environments to execute proposed system tasks and document results for System Development Life Cycle changes.
- Definition of any pilot Agency or Unit to be used in the preliminary Quality Assurance of the proposed SEFS.
- Definition of complete integration with associate applications for transition to proposed SEFS.
- Post implementation transition to maintenance and support groups.

**IV. Project Scope Summary**

<b>Statewide Electronic Filing System – Scope Outline</b>
Conversion of Application process from manual to electronic.
Electronic notification of task assignment and case information to Election staff.
Definition and implementation of document and staff security access levels (including field level, if applicable) for confidentiality of information where required.
System tracking of processing time for complaints.
Documentation of technology and infrastructure requirements for determination for Vendor compatibility SEFS or subset thereof.
Submission of RFP for bids to provide required SEFS or identified subsystems and / or software.
Documentation of implementation phases and schedules.
Documentation of training plan for State, County and City staff and support staff.
Post implementation transition to maintenance and support.
Post implementation project summary report including lessons learned and SEFS performance.
Other change management approved objectives defined.

## **VI. Project Assumptions**

The project will be managed jointly by the Project Manager, the Project Sponsor, Agency Managers, and Subject Matter Experts. Other resources will be identified and reserved as the project proceeds.

The SEFS will be integrated with multiple other existing and potentially new systems. Interfaces for connectivity and transmittal of data, records, images, etc. will be configured. Data confidentiality will be built into these interfaces.

Successful project implementation is dependent on:

- Timeline for implementation.
- The identification of all business requirements.
- Full definition and design of the Subsystems, Interfaces, Hardware, Software and Project Plan.
- Availability of assigned resources, internal and external.
- Vendor deliverables completed on time and within budget.
- DOS Project Budget

## **VII. Project Constraints**

The following issues will require additional consideration during the project definition phase.

- Multiple divisions, multiple environments, integration requirements for existing systems and applications.
- Licensing of proposed SEFS and subsystems or software.
- DOS Information Technology infrastructure environments performance, reliability and availability.
- Records access by multiple users simultaneously will need to be defined. Read-Only vs. Update for the assigned staff member, etc. I.e. Only the assigned staff person may add supplemental documents, while case is being processed. Other staff will only have read access.
- Others as identified with SEFS design and interface definitions.

## **VIII. Project Dependencies and Related Efforts**

Infrastructure and Human Resource dependencies include, but are not limited to:

- Successful RFP execution for SEFS and / or Subsystems.
- Existing systems that will be integrated with SEFS must meet performance, reliability, and availability requirements.
- Department, County, and Municipal governments' staff trained in intake, system data entry and case management must meet performance goals.
- Additional considerations may be required during the project definition phase.

## IX. Estimates

There are multiple areas that will need consideration in order provide relevant estimates for costs and schedule delivery dates. The following includes, but is not a complete listing of project Modules and Phases:

- Project Stakeholder definition and Statewide Filing.
- Project Charter definition and approval.
- Analysis of Infrastructure resources available or to be procured to support the Application, Data, and Network.
- Analysis of Development or Procurement of Application for filing treasurer reports.
- Analysis of User roles for filers and filing officers at State, County and Municipal levels.
- Detailed definition of requirements for: online filer registration, account information management, security management, and email notifications.
- Detailed definition of requirements for: Filing officers would need an application to perform administrative tasks such as defining report due dates, auditing reports, notifying filers for failing to file reports and calculating fines for filing late reports.
- Analysis and definition of requirements for the Online System to provide public access to filer information.

An initial estimate for obtaining this information and defining a project to implement the final solution is 6-12 months. The actual implementation is dependent on the number of agencies and users, infrastructure requirements, and build or buy decisions.

It is recommended that the Department of State and Division of Elections perform the above project to insure that a full analysis is completed versus implementing a substandard solutions based on vendor systems current capabilities.

Any travel related expenses for obtaining information from County or Municipal agencies will need to be provided by the DOS.

The Hourly Rate for Sunational Software Management to complete the Analysis and project definitions is: **\$85.00 per hour**

With a Project estimate of 6-12 months, this would result in a Project Analysis Cost of between approximately **\$81,600 and \$163,200.**

## X. Funding Mechanism

To be determined by Department of State – Division of Elections management.





October 25, 2013

Vonda Murray  
Purchasing Director  
R.A. Gray Building, Room 428  
500 S. Bronough Street  
Tallahassee, FL 32399-0250

Re: RFI-09-13-1 – Statewide Electronic Filing System (SEFI)

Dear Ms. Murray

United Solutions Company is pleased to provide you with two copies of our response to your subject Request for Information.

Please feel free to contact us with any questions you may have regarding this issue. We will be happy to assist.

Sincerely,

A handwritten signature in black ink, appearing to read "Bill Kimbel".

Bill Kimbel  
Sales Manager  
United Solutions Company

RECEIVED  
PURCHASING  
FLORIDA DEPT OF STATE  
2013 OCT 25 AM 11:58





October 25, 2013

Vonda Murray  
Purchasing Director  
R.A. Gray Building, Room 428  
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Sincerely,

Bill Kimbel  
Sales Manager  
United Solutions Company

REQUEST FOR INFORMATION (RFI)  
Statewide Electronic Filing System (SEFS).  
RFI-09-13-1 September 30, 2013

VENDOR CONTACT INFORMATION - The response must include the vendor contact information below listing the specific person(s) who are responsible for preparing the vendor's response. Each vendor should designate a specific contact person who will be responsible for responding to the Department if any clarifications of the vendor's response should become necessary.

Vendor Name:

United Solutions Company

---

Address:

1585 Summit Lake Drive

---

Suite 300

---

Tallahassee, FL 32317

---

Prepared By: Bill Kimbel Title: Sales Manager

\_\_\_\_\_ Title: \_\_\_\_\_

Contact Person: Bill Kimbel Title: Sales Manager

Phone Number: 850-219-6505 FAX: 850-942-9228

E-mail Address: bkimbel@unitedsolutions.coop

---

# RESPONSE to Request for Information No. RFI-09-13-1 for Statewide Electronic Filing System (SEFS)

---

United Solutions Company (USC) understands that the Florida Department of State is interested in obtaining information on potential solutions for a Statewide Electronic Filing System (SEFS). In response to the subject Request for Information, USC provides the enclosed information.

For simplicity in review, our response is organized around the list on Page 2 of the Request for Information, merged with additional information from the information provided in the response to vendor questions, as appropriate. Each major item is designated by a major heading break.

The items addressed are:

1. What features does the election software offer? Overall features are discussed in Paragraph 1, Vendor Solution Approach and Recommendations, with additional information in the following paragraphs.
2. What is the typical timeline for the development of the required product? For highly customized applications, a typical timeline can take from three to six months. If the products are used mostly "out-of-the-box", development can be considerably shorter.
3. What is the estimated licensing and maintenance fees for state, county and municipal filing officers? Licensing fees for the proposed configuration are **\$240,000.00**. Maintenance fees are **\$48,000**.
4. What is the estimated data migration fee for state, county and municipal data? Data migration is dependent on the data source, and its ability to export to XML or CSV files. Fees are included in the Setup and Training costs.
5. What is the estimated fee for customizing the software so it complies with Florida laws and rules? Fees are included in the Setup and Training costs.

## 1 Vendor Solution Approach and Recommendations

United Solutions Company is pleased to respond to your Request for Information for a statewide SEFS Solution for the Florida Department of State.

Our understanding is that the list of requirements (as clarified by the Q&A) summarizes your needs at the time the RFI was released, and that some items will be further defined through consultation with the Department's Project Team, either during on-site presentations, proof-of-concept demonstrations or actual implementation of a SEFS solution. This Response addresses those items currently listed.

United Solutions Company (USC) is proposing the use of oscFile DB Corporate Suite with oscFile DB Workflow, oscFile DB LiveForms, and oscFile DB Webview, along with training and implementation services to meet the requirements you have listed in the RFI.

Pricing is based on a traditional License Fee plus Support model, but can also be provided as an all-inclusive Software As A Service (SAAS) or Cloud model. Using the SAAS approach, the Department can use in-house computing resources or USC can provide this in our secure datacenter located here in Tallahassee.

oscFile DB can handle up to 116,000 concurrent users, and as few as one. You may start with a few and add additional concurrent users as the workload on the system increases. For the purpose of this response, we have included licenses for 1,000 concurrent users plus 25 Live Forms concurrent users. Use of oscFile DB WebView will allow the "public" users to log on, receive a token for their session, make a request for information, then release the token and concurrent session immediately after the request is granted.

oscFile DB (as Docubase) has been proven to support enterprise organizational-wide Electronic Content Management requirements in over 3,000 installations worldwide, including the Canton of Geneva, Florida Fresh Growers and others around the United States and the world. Please refer to Section 8 – Descriptions of Similar Projects for an overview of applications and customer contacts for more information. Many of our customers are using a site-wide license for their user access.

oscFile DB is installed at the Florida Department of Health Finance and Accounting Disbursements Section where they are establishing a web-enabled voucher database. That project is in the production phase where they are loading the large number of vouchers created by the Disbursement Section over the last 5 years.

### 1.1 Deployment

#### 1.1.1 License Requirements

USC is using licenses for the products discussed plus concurrent users and support for pricing and sizing in this response. The basic software components as noted below all share the concurrent use count in this configuration, with the exception of LiveForms. LiveForms is priced using 25 concurrent users and

an unlimited number of forms. (Note that United Solutions can also provide a "hosted solution" for all of the products listed at our secure data center.)

To calculate the actual number needed, we recommend the following: For the "power users" you will need to use a 1 to 1 ratio. For all others who would access oscFile DB and oscFile DB Workflow occasionally, you can probably use a 3 or 4 to 1 ratio. oscFile DB LiveForms requires a concurrent user for any user needing to be logged in. Most forms do not require a login to complete and submit. As a part of our implementation process, we will assist in evaluating user profiles and personnel structures to define how many users are power users versus occasional users. A careful assessment of user demographics could change the number of concurrent users needed and reduce the cost considerably.

### 1.1.2 Deliverables

- oscFile DB Database designed and installed (Rhea).
- oscFile DB LiveForms installed (LiveForms)
- oscFile DB Workflow installed (Tolesto).
- oscFile DB Webview installed.
- oscFile DB Office Manager installed.
- oscFile DB eMail Manager installed.
- Up to 1000 Concurrent Users
- Up to five workflows designed and tested.
- Training as specified below.
- Branding with the Florida Department of State logo and "signage".

### 1.1.3 Our Solution- oscFile DB, oscFile DB Live Forms, oscFile DB Workflow and oscFile DB Webview:

oscFile DB is an Enterprise Electronic Content Management (ECM) solution, capable of handling the desired number of databases and workflows now being considered, and can grow as needed. When each unique database is created, a WORM mini-disk is created, and when data is initially placed in the database, a second is automatically created. When the first mini-disk is full, data

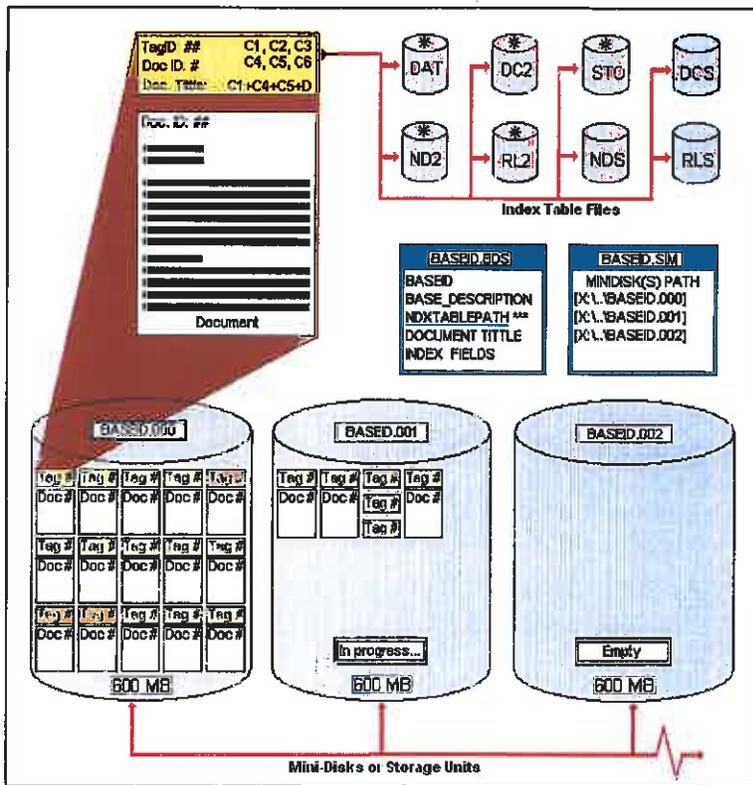


Figure 1 - oscFile DB Mini-Disks

is automatically placed in the second mini-disk, and a third mini-disk is created. This continues as the database is populated.

Additional databases and workflows for other areas and needs within the enterprise may be easily created and implemented. As additional processors and memory are needed, the recommended host system can be upgraded without major disruption, providing a smooth upgrade path.

oscFile DB allows for searching and selecting any number of, or all documents from the search hit list, then displaying all selected items with a single command.

#### 1.1.4 Cost Proposal

We have prepared our Cost Proposal using the following product options:

- oscFile DB Content Management Suite which includes:
  - Browser-based content management (Rhea – a Java-written, web-enabled, Internet based Electronic Content Management System to provide document access via the Internet or Intranet)
  - Production Batch Manager as a Full Client module for production level scanning, indexing and batch processing (Vega for Imaging)
  - Virtual Printer (Print to oscFile DB)
  - Link Quick Search Manager to retrieve documents on the fly
  - Auto Importer Directory Monitor (monitors one or more work directories for file presence to add content to the databases)
  - Comserver Auto Index Manager (populates index fields from external data)
- oscFile DB LiveForms – Provides web-enabled, electronic forms with a dynamic workflow for creation, notifications, corrections and exception handling
- oscFile DB Workflow (Tolesto) – Provides rules based routing with notes, users and roles and includes exception reporting
- oscFile DB Webview – Provides the public user access with fewer concurrent users. A user will login, receive a token, connect to the database, insert their request, then the token is released, freeing up that concurrent user token for the next user.
- Concurrent User Licenses for up to 1000 concurrent users as requested. All users may be designated as Read/Write/Manage or Read Only based on their user or group profiles. You may start with fewer licenses if you do not anticipate all users being on the system at all times, and can expand up to 166,000 users if needed. With this proposal, the maximum number of active concurrent users is 1000, however, you can share these user accounts to have more users, or reduce the number if all users are not frequent users.
- Annual Maintenance Contracts for the above licenses and concurrent users
- Set up of up to five separate databases or workflows
- Set up of up to 1000 users or user groups
- Training and Installation Services

- o Installation – ½ day for oscFile DB, ½ day for oscFile Workflow, ½ day for oscFile DB LiveForms, as little as 2 hours for each database or workflow, determined by the scope of the workflow, or as much as two days, depending on the complexity of the workflow. We included two days per workflow for costing purposes. Users can be set up through LDAP, copy of another user rights, part of a group with set rights, or individually. Individual set up takes about 10 minutes providing all information is provided.
- o Training
  - One-half to one day of training for 5 to 10 Power Users and Trainers
  - One additional day for of training your Power Users and Administrators
  - Two additional days of training for your Administrators

**Note that oscFile DB products and services are available from Florida State Term Contract 600-000-11-1, effective 11/19/12. All proposed items may be purchased under the contract at this time.**

### 1.1.5 Optional Items.

Various options for the SEFS System are available under Florida State Term Contract 600-000-11-1 and are available for use with high performance scanners using TWAIN or ISIS drivers (such as the line of Canon scanners), Multifunction Printers or other documents and files. The integration between oscFile Index and oscFile DB allows scanned documents to be directly imported to the oscFile DB database.

Scanning, indexing and filing tasks are presently performed in a number of state and local Departments using oscFile Document Imaging System. oscFile Index is currently available under Florida State Term Contract 600-000-11-1.

Also available are the following optional oscFile DB items:

- Thetis Office Manager for shortcuts in Office and Explorer
- Thetis eMail Manager (works with email programs)
- Titan for Reports (COLD - Computer Output to Laser Disk) for generating reports directly to the database
- Additional server licenses for large installations or redundancy
- Development Toolkit – Includes Toolkit DLL and Active-X, plus one day training and ongoing support

### 1.1.6 Deployment Steps

Task Documentation/Deliverable	Comments
Recommend server hardware/software platform requirements.	Recommendations are shown on the attached sales brochure for oscFile DB. oscFile DB can run on many platforms as noted in the brochure

<p>Develop an implementation plan defining steps, roles, responsibilities, and timeline for the installation, configuration, and training.</p>	<p>The installation plan needs to include a designation of DOS personnel responsible for handling the system level operations. We will coordinate with the designated personnel to develop the final implementation plan.</p>
<p>Consult with DOS on criteria for an acceptance test.</p>	<p>United Solutions will provide acceptance test criteria to define proper installation and use of the system. As a part of the training steps, administrators will be taught how to verify proper operation of the system, and proper use as defined in the implementation plan.</p>
<p>Install software up to latest version on DOS's server for use during pilot period and for production operations.</p>	<p>United Solutions will accomplish this task, working with DOS personnel. United Solutions will provide a temporary license during the pilot period (if any) and a permanent license for the production installation.</p>
<p>Consult with DOS on definitions and requirements for configuration of system.</p>	<p>United Solutions requires documented definitions and requirements and will consult as needed to define the system with DOS. Please refer to the attached sales brochure for system configuration requirements.</p>
<p>Develop training materials for use during pilot and full implementation.</p>	<p>Training materials (i.e. user guides, PowerPoint presentations) will be provided. Note that the simplicity of use of oscFile DB will minimize the need for extensive training.</p>
<p>Deliver training to administrators and end users.</p>	<p>Training sessions will be provided to enable administrators to configure the systems and manage database functionality. Approximately 10 days of training are budgeted for this purpose. Additional time is included for training power users and end users.</p>
<p>Perform Acceptance Test of system; successful completion of the Acceptance Test will be used to determine whether the contractor has</p>	<p>Completed checklist of acceptance test criteria will be verified.</p>

performed in accordance with the contract.	
Set up DOS Branding	The departmental logo will be placed on the initial splash screen and where indicated on succeeding screens. Changes to the appearance of screens will be done by modifying the Cascading Style Sheet associated with each page as needed.

## 1.2 Our Solution

### 1.2.1 oscFile DB

oscFile DB (also known as Docubase Rhea), offers a range of features related to the management of folders and digital information. Among other things, it lets you group together all types of documents, regardless of their original format or medium, while supporting direct queries of documents and index information.

Document types are typically PDF or TIF, but can be any Office document or other displayable document. Documents are presented to the screen as PDF files, but can be easily switched to the original document format (such as Excel sheets or Word documents) when needed.

oscFile DB allows you to organize your filing structure based on your principal activities. Each activity corresponds to a set of forms that allows you to describe and file documents, and to search them. For example, you can import documents from your hard drive (e-mail, reports, tables, photos) or digitize them directly from a scanner connected to your computer through a Twain or ISIS interface. To file documents, you just fill out the form corresponding to the activity to which they are related. This form may also be an electronic LiveForms generated form, depending on your specific needs

oscFile DB also helps you organize documents from various types of document bases into coherent, hierarchical folder structures that fit pre-defined templates. The template defines meta-data that are useful for searches on the folders.

Each document can be associated with attachments, audio comments and a follow-up note.

The oscFile DB product is subdivided into five major groups of functionality accessible through the six tabs shown below. Depending on their rights, users will see all or some of these tabs in their user interface.

- Functionality Tabs
- Document or folder searching
- Document filing
- New folder creation
- Favorites
- Document flows

oscFile DB includes the ability for users with the proper profile and rights to directly insert documents and to make use of the single sign on network if their profile permits. Public users will be able to gain access in a manner similar to that used by the agency at present.

User profiles provide for secure view and search to the limits of the user or group profile and uses HTTPS and SSL for security. With the use of oscFile DB Office Manage and eMail Manager, oscFile can be integrated with Microsoft's Office Suite.

### **1.2.2 oscFile DB Workflow**

The oscFile DB Workflow product, published by Docubase Systems and marketed by United Solutions, offers a range of features related to the flow of cases and digital information. oscFile DB Workflow is robust and simple to use by your staff. Workflow provides GUI tools for creating and modifying workflow steps as needed.

oscFile DB Workflow also enables you to set up a document work flow based on your main activities. Emails may be generated, and metrics may be reported as needed.

OscFile DB Workflow is configurable and can be customized to meet your business requirements.

### **1.2.3 oscFile DB Live Forms**

oscFile DB Live Forms creates on-line electronic forms which can be inserted into a workflow for notifications, corrections, approvals and processing, including "wet" signatures from iPhones or iPads. The Live Form generated form can also output the data from the forms into a database as needed, with the actual form being saved into a imaging database including data as the indexing fields.

### **1.2.4 oscFile DB Webview**

oscFile Webview is an optional module that provides the Agency with the capability to have a public user (for example) to login, get a token for that session, make a search for a document of interest, then have their token released while still being able to view and print the document locally.

oscFile Webview

## **1.3 Migration**

### **1.3.1 Migration Into oscFile DB**

The existing documents may be migrated using your current database ability to export small batches of like documents, using the existing in-house export processes, and current database per document data can be queried into a CSV or XML for document indices with the links to the existing document location.

If the current database can be used to generate the CSV or XML format needed, then that CSV or XML file can be used to import the document and indices into oscFile DB. oscFile Index can also be used to generate the XML file for one or a batch of documents to be imported. The actual document location can be a new location, or can be an existing physical location.

A sample XML file for importing one Voucher File is shown here. The field values are for Statewide Document Number, Voucher Number, Date, Payee Information and Account Number similar to that used for importation at Department of Health.

### 1.3.2 Migration Out From oscFile DB

In the event that the Agency's needs change, oscFile DB includes the ability to migrate a portion or the complete database out of oscFile DB. Docubase provides several tools with export capability, all part of the included oscFile DB Vega product (Windows Client applications). Even the retrieval module has an export module which is provided by default. However the most common

```

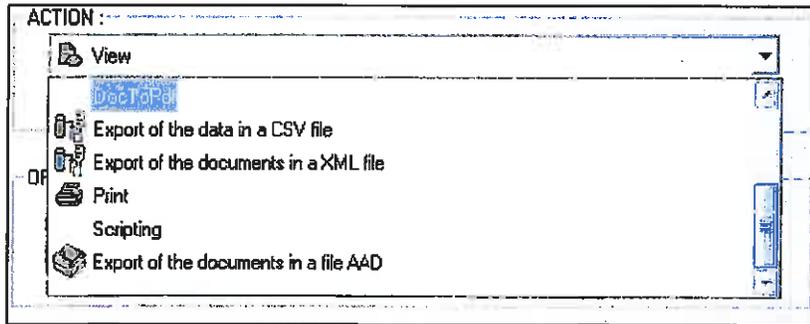
<?xml version='1.0' encoding='UTF-8'?>
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  <storage>
    <base>VOUCHERS</base>
  </storage>
  <documents>
    <document>
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      <typeFile>PDF</typeFile>
      <href>C:\images\Voucher Job Files\Output\D30-0004-9536_FN0092_08-01-2012.pdf</href>
      <metas>
        <meta>
          <idField>C0</idField>
          <value>D30-0004-9536</value>
        </meta>
        <meta>
          <idField>C1</idField>
          <value>FN0092</value>
        </meta>
        <meta>
          <idField>C2</idField>
          <value>F593427224001CREATIVEWORLDCHILDCAREF593457294001THREEBEARSI
          NCTRAVARESLEARNINGCENTERF593499882001NEWLIFETEMPLEFELLOWSHIPINCF5
          93633323001NORTHFLORIDACHILDDEVELOPMEKF596000572008MIAMI-
          DADECOUNTYSCHOOLBOAREMIAMI-
          DADECOUNTYPUBLICSCHOCACCOUNTNAME:ACCOUNTCODE:FEDERALGRANTSTFC
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        </meta>
        <meta>
          <idField>C3</idField>
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        </meta>
      </metas>
    </document>
  </documents>
</batch>

```

Figure 1 - Sample XML created with oscFile

module used for massive exportation from Docubase is called Filter Module (DbFilter.exe) which among the several export functions, the most used are: Export to CSV, Export to XML and Export to AAD. In each one of these methods the documents are exported in its native format and they are accompanied a formatted text file which contains the path to the extracted document along with corresponding index information and metadata.

Filter Module (DbFilter.exe)



### 1.3.3 Moving a database from the Department's IT Center to a Shared Resource Center

Once the database has been created, moving it to a new location is as simple as installing the software on a new system, then copying the database to the new site.

## 2 Estimated Cost for the Proposed Approach / Implementation Plan

The proposed solution includes the items listed above in Section 1.2.2 and total **\$344,250.00** for Year 1, including maintenance support and services and **\$48,000.00** per year for years 2 and beyond.

## 3 Costs / Pricing Structure for the Proposed Licensing Model

The oscFile DB product set is sold as a license for the software, plus one or more concurrent users for the entire set of products. Each concurrent user may use each software component, if their profile permits such use.

## 4 Five Year Total Cost of Ownership Estimate

The five-year total cost of ownership estimates for the proposed solution includes the Year One cost of **\$344,250.00** and four additional years of maintenance and support at **\$48,000.00** for a five year total of **\$536,250.00**.

## 5 Availability through Any Current Florida State Term Contract

The products and services proposed are included in Florida State Term Contract 600-000-11-1

The volume pricing for Concurrent Users are based on multiples of the License Packs listed on the State Term Contract, discounted for volume.

State Term Contract 600-000-11-1 went into effect on August 4, 2010, and is expected to run for four years, with a possibility for extension of up to an additional four years. USC will provide contract based pricing for as long as the contract remains in effect and can guarantee that the post contract costs will not grow faster than the Consumer Price Index. DOS may also pre-purchase maintenance services at the contact rate out to the five-year period of interest for this RFI.

For purposes of this RFI, all pricing is current contract pricing.

## **6 Vendor's History including Length of Time in the DMS Business**

United Solutions Company was founded in 1983 for the purpose of providing 24/7, online, real-time credit union data processing services. Since then, many new and innovative services have been introduced and made available to more than 85 credit union clients, as well as government and private sector customers across the nation, providing both on-premises and hosted solutions from our SSAE16 certified data center located in Northeast Tallahassee.

The Office Systems Division of United Solutions was founded in 1970 and has focused on document and records management, document and microfilm scanners and the oscFile SEFS System. The Office Systems Division was acquired by United Solutions in late 2009.

In early 2010, United Solutions partnered with Docubase Information Systems to enhance oscFile with Docubase to create oscFile DB. Docubase Information Systems was founded in 1986 and has provided document database solutions to customers worldwide since then.

United Solutions is Canon USA's designated representative for Canon sheet-fed scanners on Florida's State Term Contract 600-000-11-1 (Category 4, Sheet-fed Scanners and Related Software) and one of two dealers designated by Panasonic to represent them on the state contract. United Solutions is also a certified, authorized service center for Canon and Panasonic scanners. oscFile and oscFile DB products, including oscFile DB Workflow and oscFile DB LiveForms are included as Related Software in the Canon Sheet-Fed Scanners portion of the contract.

As noted above, we have a considerable number of customers inside and outside of Florida, including most of Florida's state agencies (and including DOS). Please refer to the section on References for more detail.

## 7 Descriptions of Similar Projects

The following are installed customers who have agreed to be used as references. Their applications are ongoing Document Management Systems, with unlimited licenses for access, both internal and “guest”, plus workflow.

### References

**Stefan Vitez**

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202 Henry O. Flipper Street  
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[stefan.vitez@twc.state.tx.us](mailto:stefan.vitez@twc.state.tx.us)

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[keberle@citrusworld.com](mailto:keberle@citrusworld.com)

**State of Geneve, Switzerland**

Current and ongoing municipal Document Management Systems and workflow for 1,000 users. All items on their website at [www.ge.ch](http://www.ge.ch) are powered by Docubase.

**Ken Street**

MIS Director Angelina College  
3500 South First Street  
Lufkin, TX 75904  
936-639-1301  
[kstreet@angelina.edu](mailto:kstreet@angelina.edu)

**CAF, France – Social Benefits State Agency** –  
Current and ongoing Document Management Systems and workflow – 8,000 concurrent users.

**URSSAF, France – Social Security and Contribution Collection State Agency** –  
Current and ongoing Document Management Systems and workflow – 10,000 concurrent users.

## **8 Relevant White Papers**

We have attached the following case study PDF files for reference:

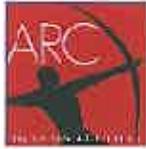
Arc International Case Study.PDF

BMP Case Study.PDF

Elf Case Study.PDF

Sys Supplies Case Studdie.pdf

Please double-click on the images to open in Adobe for full resolution if needed.



## Manufacturing—Arc International

*In September of 2000, Arc International acquired the American based MIKASA as an addition to its American distribution base that includes Strain Nova, Home Beautiful and Christopher Stuart.*

### Capture

### Store

### Manage

### Control

*Arc International chose the Docubase Solution to help them centralize, consolidate and control their business data.*

*Arc International Has recovered physical space and increased operating efficiency through the use of a Docubase Solution.*

### Company Overview

Founded in the early 1800's as the French based Verrerie Cristallerie D'Aruques, Arc International has grown to become a world leading manufacturer of tabletop glassware sold throughout the United States and Europe.

Arc International currently has over 16,000 employees worldwide and manufactures 3,500,000 pieces per day, 220,000 of which are crystal.

### The Opportunity for EDMS

Due to the nature of the business, Arc International had masses of paperwork which required utilizing many areas for storage. This information could be requested and required by Customer Service, Compliance or Auditing to address varying issues.

Finding and accessing this data was a cumbersome, inefficient task due to the multiple storage locations and even more so if the data was old.

### The Solution

To streamline this process and consolidate the storage of this paper-based data, Arc International chose to implement a Document Imaging and Management solution by Docubase Systems.

The use of the technology within the Docubase Solution enables Arc International to centralize the storage and management of business critical data and allow each of its business sectors to access everything from mainframe reports to invoices as they need it.

### The Benefit

Since implementing the Docubase Solution, Arc International has been able to reclaim and reuse space once occupied by physical filing cabinets. Information generated by the mainframe application is easily downloaded, indexed and stored within the Docubase solution eliminating the need to print, index and file hard copy data.

Access to information is also streamlined and made simple, delivering the information where it is needed at the time it is needed at the desktop rather than the previously cumbersome method of searching physical filing systems and cabinets.

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 PO Box 15625, Clearwater, FL 33766  
 Tel: 727.723.1484 www.docubase.net Fax: 727.723.0879

docubase

docubase

your financial and Electronic Document Management solution

	<h2>Financial – BNP International</h2>
<p>Plagued by too much paper consumed and search times that became too complex, BNP International turned to Docubase and its Electronic Document Management System.</p>	<p><b>Company Overview</b> BNP Paribas Group is France's top bank in terms of net income, and Europe's third largest and number three bank in terms of shareholder equity. BNP, headquartered in Paris, France, is focused on worldwide growth and strong development in Asia. BNP, with over 2,100 branches across France, is organized into several core businesses that include Retail Banking, Specialized Financial Services, Wholesale and Merchant Banking, Private Banking, Asset Management, Insurance and Paribas Capital (private equity and expansion capital).</p>
<p><b>Capture</b></p>	<p><b>The Opportunity for EDMS</b></p>
<p><b>Store</b></p>	<p>In 1996, BNP International faced a mounting issue of increased paper consumption and generation due to the need of generating reports in triplicate intended for clients, accounting and branch offices. At this time, Jean-Claude Toussaint of the BNPI African Division was assigned the task of organizing the situation. The practice then was to store paper in warehouses in accordance with the law and also in the form of microfiche. Mr. Toussaint states, "We had to send all of our COLD report production to Paris who then sent it back to us in microfiche form ten days later. From there came the need to print them as well for accounting and the branch office, which didn't help to reduce paper consumption costs. The second problem: retrieval. Any retrieval operation through microfiche was systematically tedious."</p>
<p><b>Manage</b></p>	<p><b>The Solution</b></p>
<p>After a close study of EDM products and careful evaluation of Docubase, Jean-Claude Toussaint devoted himself to convincing the BNPI banks to adopt this solution for future indexing and archiving.</p>	<p>BNPI worked closely with Docubase and Computer Communication International, specialists in telecommunications with bank expertise, to implement the Docubase solution, train the administrators and train the end users. BNPI utilizes a combination of PCs, scanners, CD-ROMS, Optical Jukeboxes and Docubase software that includes:</p> <ul style="list-style-type: none"> <li>• COLD to automatically index and archive computer reports</li> <li>• FORM to scan, index and archive other document types, like paper and office files</li> <li>• Signature Verification to digitize, index and archive signatures for clerks to access and use for authentication</li> <li>• Search to retrieve, share and distribute information of all types</li> </ul>
<p><b>Control</b></p>	<p><b>The Benefit</b></p>
<p>The Docubase solution used by BNPI provides access to vital information by authorized BNPI personnel from more than 17 office worldwide.</p>	<p>BNPI achieved a Return on Investment of approximately 18 months. The Docubase solution saved BNPI on printing costs, paper consumption, retrieval time and costs to find misplaced files resulting in enormous operational cost savings, not to mention increase customer service and satisfaction.</p>



**Company Overview**

In 1993, Sanofi, the Elf Aquitaine subsidiary for the chemical and health areas, with the takeover of Yves Saint Laurent, became a leader in world prestige perfumery.

In a world of companies born out of mergers, Elf Aquitaine's history is different with its origins dating back to 1939. This has provided Elf Aquitaine the basis for a strong foothold on the European and international markets, ranking Elf Aquitaine among the world's top ten oil and gas companies.

Its exploration efforts span over many countries with daily production exceeding over 1 million barrels per day and is considered one of the largest producers of natural gas. Through consolidating its positions in the petroleum industry, its many discoveries, the successful redeployment in chemicals and the development of the company, Sanofi, Elf Aquitaine now has three strong sectors: hydrocarbons, chemicals and health.

*Capture*

**The Opportunity for EDMS**

*Store*

Everyday as petroleum and petrochemical derivatives are explored, extracted, refined and marketed, Elf Aquitaine faced a mounting challenge in handling the paper and reports generated to conduct business and meet regulations. In 1994, Elf Aquitaine turned to Electronic Document Management Systems (EDMS) technology as a solution to managing this information and through a rigorous selection process, chose Docubase Systems as their EDMS solution provider.

*Manage*

*Control*

Docubase is installed in Elf offices in Gabon, Nigeria, Angola, Norway and the Congo and is used in a number of phases involved in the Exploration, Production and even the Accounting for Oil.

**The Solution**

To enable Elf Aquitaine, in each of its sectors, to handle everything from mainframe reports to invoices, Docubase provided a solution combining:

- **DB-COLD** for computer generated mainframe reports
- **DB-Document Manager** to manage the paper generated from field and office transactions

Increasingly, Elf Aquitaine is appearing in the business pages of the morning newspaper as the subject of an international company that is in the growth and acquisition mode, growing right along with Elf Aquitaine's expansion internationally is the expansion of the Docubase client.

**The Benefit**

As Elf Aquitaine has moved into the dispensing of petroleum products across Europe and Africa, Docubase has become a vital source of information at the pump as well. Docubase.COLD is providing reports that include the distribution of gasoline and oil products to each of the stations and because of the seamless integration with Docubase.FORM these reports are easily and readily available for Accounting with support documents in paper and electronic means.

**Sy's Supplies, Inc.**

## Distribution—Sy's Supplies

*Sy's Supplies product offerings ranges from adhesives and tools to electrical, plumbing and HVAC Systems.*

**Capture**

**Store**

**Manage**

**Control**

*Docubase web technology allows customers to research information on their own, without the assistance of the office personnel at Sy's Supplies.*

*Sy's Supplies Docubase solution is also web-enabled, allowing customers to access their documents through the Sy's Supplies website.*

### Company Overview

Experiencing huge growth in South Florida's building industry, Sy's Supplies is taking full advantage of the opportunities. Sy's Supplies, a wholesale building materials distributor headquartered in West Palm Beach, Florida, currently employs over 150 people to fully operate their seven locations.

### The Opportunity for EDMS

According to Bob Black, Vice President of Sales and Operations, "Sy's Supplies has over 25 years of experience servicing in excess of 1,500 customers and distributing over 15,000 different products." He continues, "We have mastered the logistics of order fulfillment in serving our customers and recognized the need to manage their bills of lading for delivery verification in a more efficient and cost effective manner. We found initially that our customer service staff was spending too much time chasing paper files."

### The Solution

Sy's Supplies contacted Marty Tannenbaum, President of Innovative Document Imaging (IDI), in search of a solution to streamline their Bill of Lading process. Marty and Bob Black teamed up to detail and discuss the Bill of Lading process, evaluated the overall needs of Sy's Supplies and together found the need for a full featured document storage and retrieval system that would reduce the amount of time Bob's staff was using to manually file and retrieve documents for Sy's Supplies customers.

The solution IDI presented was Docubase. "We felt that due to its ease of use and state of the art capabilities, Docubase was the best choice for Sy's Supplies," stated Marty Tannenbaum. "With Docubase, the Bill of Lading documents are scanned at a single document location using a Canon DR-3080c scanner running at about 43 pages per minute. The Bills of Lading are indexed automatically from a pre-printed barcode that represents the customer's account number and Invoice number. He continues, "If a staff member needs to recall an invoice for delivery verification, they simply type in the invoice number and view the image on-screen, right at their desktop. In this way, the customer's order history can be retrieved in seconds instead of days."

### The Benefit

According to Bob Black, "working with IDI and the Docubase solution, Sy's Supplies has realized an overall increase in customer satisfaction and by incorporating the use of Docubase Web, we have issued a user ID and password to our customers allowing them to access our systems and research their information without the aid of a customer service representative. In this way, we have also decreased our operating expenses."

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 Tel: 727.723.1484 www.docubase.net Fax: 727.723.0879

**docubase** 

## 9 Vendor's Point of Contact for this RFI

United Solutions Company of Tallahassee has designated Bill Kimbel, Sales Manager and assigned DOS Account Manager as the vendor's point of contact for this RFI. Note that the project team will be made up of Bill Kimbel, plus various other personnel from United Solutions and Docubase, as needed for various parts of the project. All support will be managed through United Solutions, including telephone, email and onsite support and training.

Please contact Bill Kimbel at [bkimbel@unitedsolutions.coop](mailto:bkimbel@unitedsolutions.coop) or 850-219-6505 if you have any questions or issues we can assist with.

# United Solutions



www.unitedsolutions.coop  
Formerly Office Systems Consultants

1585 Summit Lake Dr. Tallahassee, FL 32317  
P: 850-942-9186 F: 850-942-9228

## SALES QUOTE

Sales Quote No: 2371  
Date: 10/3/13  
Account No: 0000553-002

**Bill To:** DEPT OF STATE Div of Elections  
Attn: Ary Miller / 245-6190  
500 S. Bronough St.  
Room 316  
RA Gray Building  
Tallahassee, FL 32399-0250  
USA

**Ship To:** DEPT OF STATE Div of Elections  
Attn: Ary Miller / 245-6190  
500 S. Bronough St.  
Room 316  
RA Gray Building  
Tallahassee, FL 32399-0250  
USA

Sales Person	P.O. Number	Ship Method	Payment Terms	Quote Expires On
Bill Kimbel		BEST WAY	NET 15	11/2/13

**Notes**

Item No	Description	Quantity	UM	Price	Disc	Amount
LIC oscDBsuite	oscFile web enabled DB Content Management Suite	1.00	EA	\$7,500.00	0.00	\$7,500.00
LIC oscDBWorkflow	Workflow for oscFile DB	1.00	EA	\$15,000.00	0.00	\$15,000.00
LIC oscDBLiveForms	LiveForms for oscFile DB	1.00	EA	\$25,000.00	0.00	\$25,000.00
LIC oscDBWebview	oscFile DB Webview License (Public Access Token Release)	1.00	EA	\$12,500.00	0.00	\$12,500.00
LIC oscDBuser25	25 Concurrent User license for oscFileDB	40.00	EA	\$18,000.00	0.75	\$180,000.00
*TRAIN oscDB	Training and setup of oscDB user and database (Add'l at \$125 / hour)	240.00	EA	\$125.00	0.00	\$30,000.00
AMC oscDBsuite	Support for oscFile web enabled DB Content Management Suite	1.00	EA	\$1,500.00	0.00	\$1,500.00
AMC oscDBWorkflow	Support for Workflow for oscFile DB	1.00	EA	\$3,000.00	0.00	\$3,000.00
AMC oscDBLiveForms	Support for LiveForms for oscFile DB	1.00	EA	\$5,000.00	0.00	\$5,000.00
AMC oscDBWebview	oscFile DB Webview Maintenance (Public Access Token Release)	1.00	EA	\$2,500.00	0.00	\$2,500.00
AMC oscDBuser25	Support for 25 Concurrent User license for oscFileDB	40.00	EA	\$3,600.00	0.75	\$36,000.00
Setup oscDB	Setup oscDB (per Database)	5.00	EA	\$250.00	0.00	\$1,250.00
Setup oscDB CU	Setup oscDB Concurrent User	1,000.00	EA	\$25.00	0.00	\$25,000.00

Please note our REMIT address is:  
1585 Summit Lake Drive  
Tallahassee, FL 32317  
FEIN 59-2285914

<b>Subtotal</b>	\$344,250.00
<b>Discount</b>	\$0.00
<b>Freight</b>	\$0.00
<b>Sales Tax</b>	\$0.00
<b>Sales Order Total</b>	\$344,250.00



## oscFile DB for Content Management™

### Acquisition, Document Management, and Folder Management In A Web Environment

The Web application **OscFile DB for Content Management™** provides all functionality needed to fully manage electronic documents and folders

**OscFile DB for Content Management™** is part of the oscFile Information Suite™ software product line. Functional administration is common to all applications in the suite and is performed from a web application.

#### **OscFile DB for Content Management™** Includes:

- Classification of work station documents
- Document digitization
- Fully-customizable forms
- Criterion-based document and folder searching, in full-text mode, and in document/folder mixed-mode
- Document and folder administration

The ergonomics and ease of use of **OscFile DB for Content Management™** enable the optimum management and administration of all types of enterprise folders.

**All it takes is a few mouse clicks to view documents and access processing and retrieval features!**

### DOCUMENT ACQUISITION

The classification is done from the Web interface and the documents can come from disks, individual TWAIN digitization, e-mail messages or bulk import (multifunction photocopiers, production scanners):

- Scanning with production scanners controlled by oscFile Index
- B&W, color and gray-level digitization of single-page and multiple-page documents
- Visual monitoring of images during digitization

### MANAGEMENT, ADMINISTRATION

- User preference management. Users can customize the display and browsing mode for documents and folders
- High-granularity configuration of rights on documents and folders
- Creation and modification of document database templates, folder templates, converters and overlays
- Creation of search and indexing forms. Grouped into activities associated with users and user groups

### MANAGEMENT-SEARCHING-VIEWING-DISTRIBUTION

• **MANAGEMENT**

- Creation and updates of folders and sub-folders
- Index element entry help: value dictionary, value checking, validation scripts
- Annotation: information stamping (date, time, pre-defined comments)
- Addition of audio comments with user name and date of recording
- Document validation with secured electronic stamps using a user-specific password
- Document check-in, check-out
- Folder check-in, check-out
- Briefcase, allowing classification of documents into databases and folder trees

• **SEARCH**

- Multi-criteria crossed searches with Boolean operators, keywords and wildcard characters
- Filtering on date ranges, document content, associated notes
- Filtering and dynamic sorting of query match lists
- Data mining, allowing automatic extraction of columns from ASCII text type documents (line mode spool files) and injection into an Excel spreadsheet
- Line-mode extraction into typed fields

• **VIEWING**

- The electronic overlay associated with documents replaces the use of pre-printed paper
- Documents can be displayed and printed, with or without overlays
- Public or personal favorites, letting you save and access pre-recorded queries
- Multiple-level folder and sub-folder display
- Optional universal viewer supporting more than 150 formats
- Display with confidentiality masks, depending on document type

• **DISTRIBUTION**

- Option of on-the-fly conversion from native formats (Word, Excel, TIFF, AFP ..) to PDF format when viewing
- Distribution of documents by SMTP messaging and retrieval of email addresses from an external directory via LDAP
- Local or centralized printing functions
- Option of exporting one or more documents in compressed format

**Product Compatibility**

**Clients**

Internet Explorer  
Firefox

**Servers**

Windows 2003 Server  
IBM AIX  
Sun Solaris  
Red Hat Linux  
Fedora Linux  
z-linux  
Ubuntu Linux

**Databases**

Oracle  
PostgreSQL  
IBM DB2  
SQL Server

**Application Servers**

Tomcat  
IBM Websphere  
Sun One  
JBoss

**Scanners**

TWAIN compatible  
High Speed ISIS compatible including Canon,  
Panasonic and Fujitsu (using oscFile Index)  
Multifunction devices with scanning capability

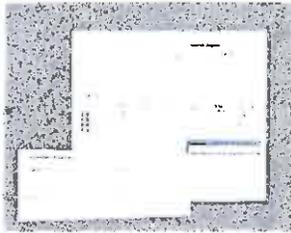
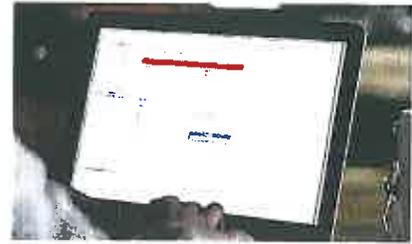
**Existing Files**

PDF, TIF, JPG  
Office files (using oscFile Index)

# oscFile Live Forms

**Live Forms delivers paperless, e-forms and workflows that are easy to customize, work on all devices and solve real business problems**

Business Users do more.  
Customize forms and workflows to fit your business. So easy to use that you can put it in the hands of business users rather than expensive programmers.



## **Drag and drop simplicity.**

Even your least tech-savvy business users will find our intuitive, drag-and-drop, 100% web-based interface easy to use. No programming or installation required. Live Forms lets you create and deploy your forms and workflows swiftly and easily.

## **Mobile Ready**

*Tablet | Smartphone | Desktop - All devices 24x7.*



Workflow on the go.  
All functionality including workflow task lists, approvals, calculations, integration and PDF export is fully supported on mobile devices.



### **Mobile is built-in**

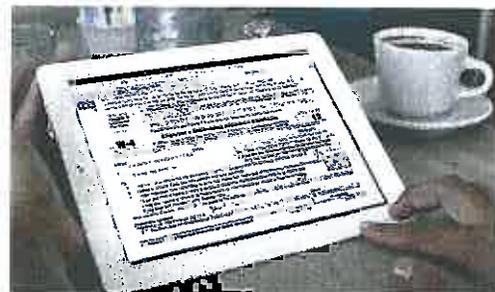
- touchscreen
- GPS
- image capture



Users expect 24/7 access from their tablets, smart phones and desktops. With Live Forms, your forms and workflows will work on any device and automatically use device-specific capabilities. #

Live Forms means business.  
PDF export, E-signatures, XML support, Database Integration, Business Rules, Workflow. Secure, Fault Tolerant, Scalable and High Performance.

**Host your forms and workflows in our secure datacenter or install the software in-house behind your own firewall.**



# oscFile Live Forms

Mobile Ready

Tablet | Smartphone | Desktop - All devices 24x7.

Live Forms delivers e-forms and workflow simplified. Your organization will run more efficiently as customers interact with you anytime from anywhere, your business users do more, and your programmers code less.

With the explosion of tablets and smart phones in the marketplace:

- Users expect always-on access from tablets, smart phones and desktops.
- The number of platforms on which business processes must run is growing rapidly.
- Enterprise mobile projects are quickly outnumbering native PC projects.
- The vast majority of these mobile apps will be integrated with enterprise services.



With Live Forms, mobile is just built-in. You can create forms and workflows from Expense Reports to Sales Orders to Patient Referrals once and they will automatically look good and work smoothly across tablets, smart phones and desktop computers. You can also customize the mobile rendering. Your users will benefit from a consistent experience with 24x7 access across all devices.

You can integrate with databases and internal systems, export PDF documents like Government W-4s, work with XML documents, setup notifications, report on data and deploy in the cloud or on-premise. Live Forms works with most app servers and can be deployed in a secure, clustered environment for scalability, always-on fault tolerance and high performance.



## MOBILE FEATURES & CAPABILITIES

### FULL FUNCTIONALITY

All functionality is available on mobile devices including workflow task lists, calculations, skip logic, integration, PDF export, automatic validation, and internationalization. As customers, partners and employees increasingly migrate to tablets and smart phones, it's imperative that they do not suffer from a compromised user experience. With Live Forms, you can offer the same capabilities across devices and platforms.

### RESPONSIVE LAYOUT

Live Forms will automatically adjust to mobile screen sizes. Form elements that appear next to each other on a desktop or tablet with sufficient screen real estate could appear one below the other on smaller smart phone screens. Of course, you can customize the rendering to fit your needs – for example, you can insert page breaks so that the form will break into multiple pages on smaller screens.

### TOUCH SCREEN SIGNATURES

Collecting signatures is now a breeze. With Live Forms, you can drop in signature controls into your form. On a mobile device with a touch screen, the user can simply sign using a stylus. If the form is rendered on a desktop computer, the mouse can be used instead. These "wet" signatures can be combined with Live Form's built-in digital signatures to ensure that the user's signature is captured while simultaneously ensuring data integrity.

### IMAGE CAPTURE

Mobile devices are often equipped with cameras. With such a device, users can easily attach pictures taken with the camera such as an accident report or a profile picture to your form.

### GPS LOCATION SERVICES

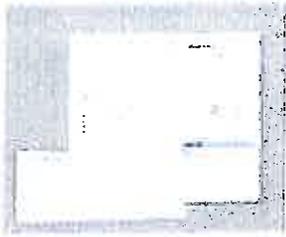
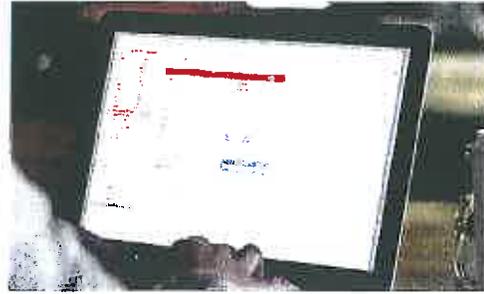
Use location services to display a map or automatically pre-fill an address when using a location-aware device such as a smart phone, tablet and most modern computers.



# Live Forms delivers paperless, e-forms and workflows that are easy to customize, work on all devices and solve real business problems

Business Users do more.

Customize forms and workflows to fit your business. So easy to use that you can put it in the hands of business users rather than expensive programmers.



## Drag and drop simplicity.

Even your least tech-savvy business users will find our intuitive, drag-and-drop, 100% web-based interface easy to use. No programming or installation required. Live Forms lets you create and deploy your forms

## Cloud Based

Flexible deployment (public or private cloud) – Host your forms and workflows on frevvo's servers in our secure data-center or install the software in-house behind your own firewall.

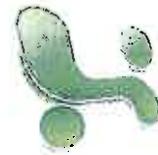


## Zero Installation

With frevvo, there's nothing to install and you can begin designing forms in minutes using your existing web browser. You can also be confident that your forms will work in the vast majority of browsers across all platforms, devices and operating systems.

## Export Submissions to Excel or other databases

Your form submission data can be downloaded to an Excel spreadsheet at any time, or integrate with any open database to quickly update your business systems with data from Live Forms.



Host your forms and workflows in our secure datacenter or install the software in-house behind your own firewall.

# oscFile

Document Imaging System

Document Management System

oscFile is the most affordable, fully-featured document capture solution available!

Why are many document imaging systems so complicated and costly? Why do they create proprietary files?

Many small business scanning applications lack time-saving automation features like OCR and barcode recognition found in enterprise software.



oscFile is the most affordable fully-featured document capture solution available. oscFile provides easy 1-step scanning, unattended processing and even supports Microsoft Office, PDF, audio and video files. It is the fastest, most affordable way to organize all of your digital files or index them for your document management system.

oscFile most powerful feature is its simplicity! Complex scanning work-flows can be distributed remotely via email and be performed with just a single mouse-click. Installation is quick, and training is minimal. You can even use your digital copier to scan files and let process them automatically. Ready to learn more? A Free 30-day trial and sample videos are available at our website.

Digital Copiers & Multi-Function Printers



Document Scanners



Office, PDF, JPG & Other Type Files



oscFile Index

Dynamic OCR & Barcode Indexing

1 Step Processing

Export to Organized Folders & Files

Search Viewer

Document Management System

FTP to Server

eMail

Custom Database



850.224.6514  
800.OSC.FILE  
800.672.3453

www.oscFile.com  
1351 Thomasville Road  
Tallahassee Florida 32303

oscFile  
Document Imaging System

© 2008 Webb Inc.

**TWAIN & ISIS Scanning  
from ANY Scanner!**

### The oscFile Document Management Suite

oscFile Index	Automates document scanning and indexing
oscFile QC	View thumbnails, rotate, clean-up and rescan images
oscFile Send	Distribute documents via secure FTP or e-mail
oscFile Search	Search and view your documents from any database
oscFile QB	Attach files and post captured data to your QuickBooks database
oscFile Coversheet	Print barcode cover pages to automate indexing from scanners or MFPs



### Applications

oscFile's open architecture and generic feature set mean it can perform virtually any scanning and indexing task that needs done. These sample applications highlight a few of the ways these features can be used to create uniquely useful and automated solutions.

- Automatically Process Images from Digital Copiers
- Integration with Custom Business Software
- Distributed Capture
- Standalone Document Management System
- Mail Room Scanning / Scan to eMail
- Process My Documents to Network Server

### System Features

Streamlined Document Capture  
TWAIN & ISIS Scanning  
Use Any Scanner  
Dynamic OCR, Zone & Full Page  
Barcode Recognition  
Optical Mark Recognition  
Automatic Indexing  
Auto-populate index field data from your database  
Index any file on your computer  
Electronic Imprinting & Bates Stamping  
Document Presence Auditing  
Document Retrieval Options  
Remote Location Scanning  
Automated Processing  
Scan to an input folder for later processing, or scan directly into the indexing process  
Preview audio, video & OLE-enabled documents  
Command-line interface for easy application integration  
Export to any ODBC or OLE database  
Locate moving OCR zones with pattern matching  
Pattern matching works on MS Office & PDF files also  
No Monthly Page Count Limits or Click Charges

Call us today for a free Document Management System needs evaluation for your business.



850.224.6514  
800.OSC.FILE  
800.672.3453

www.oscFile.com  
1351 Thomasville Road  
Tallahassee Florida 32303



imageFORMULA

**Florida State Contract 600-000-11-1  
Category 4 – Canon Scanners**

For assistance in placing your order,  
Call Bill Kimbel at (850)219-6505  
bkimbel@unitedsolutions.coop  
**OFFICE**

**United Solutions**  
www.unitedsolutions.com  
1346 Corporate Lake Drive, Tallahassee, FL 32317  
T: 850-942-5442 F: 850-942-0228

DR-2020U	DR-C125 (a)	DR-CL30 (a)	DR-3010C (a)	DR-M140 (a)	DR-M150 (a,b)	DR-6010C (a)
3923B002	5005B007	6583B002	3093B002	5482B002	5483B002	3801B002
20 ppm, 40 ipm	25 ppm, 50 ipm	30 ppm, 60 ipm	40 ppm, 80 ipm	40 ppm, 80 ipm	60 ppm, 120 ipm	60 ppm, 120 ipm
20 ppm, 20 ipm	25 ppm, 50 ipm	30 ppm, 60 ipm	30 ppm, 60 ipm	40 ppm, 80 ipm	60 ppm, 120 ipm	60 ppm, 120 ipm
50 Sheets	30 Sheets	50 Sheets	50 Sheets	50 Sheets	60 Sheets	100 Sheets
USB 2.0	USB 2.0	USB 2.0	USB 2.0	USB 2.0	USB 2.0	USB 2.0 / SCSI-III
CapturePerfect 3.0 CaptureOnTouch eCopy PDF Pro Office OmniPage SE 4 BizCard 5 PaperPort 11 Std. EasyConnect (d/i) ISIS / TWAIN	CaptureOnTouch (w) eCopy PDF Pro Office (w) PageManager 9 (w) PaperPort 11 Std (w) Bizcard 5 (w/w) Evernote (w/n/d/i) TWAIN (w) TWAIN (M)	CaptureOnTouch CapturePerfect eCopy PDF Pro Office Kofax VRS PaperPort OmniPage BizCard	CapturePerfect 3.0 CaptureOnTouch eCopy PDF Pro Office OmniPage SE 4 BizCard 5 PaperPort 11 Std. EasyConnect (d/i) Kofax VRS 4.5 Basic ISIS / TWAIN	CapturePerfect 3.1 CaptureOnTouch eCopy PDF Pro Office EasyConnect (d/i) Kofax VRS 4.5 Basic ISIS / TWAIN	CapturePerfect 3.1 CaptureOnTouch eCopy PDF Pro Office EasyConnect (d/i) Kofax VRS 4.5 Basic ISIS / TWAIN	CapturePerfect 3.0 EasyConnect (d/i) Kofax VRS 4.5 Basic ISIS / TWAIN
1,000 Scans	1,500 Scans	2,000 Scans	3,000 Scans	6,000 Scans	7,000 Scans	7,500 Scans
1 Yr. Adv. Exch.	1 Yr. Adv. Exch.	1 Yr. Adv. Exch.	1 Yr. Adv. Exch.	1 Yr. Adv. Exch.	1 Yr. Adv. Exch.	1 Yr. Adv. Exch.
Available	Available	Available	Available	Available	Available	Available
Dedicated Business Card Feeder Tray	Plastic Card Scanning/ U-Turn Feeding and Eject	Auto Color/Page Size Detection/Auto Resolution Setting B'gnd Smoothing Plastic & Embossed Card Scanning	Plastic & Embossed Card Scanning	Embossed Card Scanning U-Turn Feeding and Eject	Plastic Card Scanning	Plastic Card Scanning Up to 118" Long Document Mode Scanning
\$695 <del>\$849.00</del>	\$495 <del>\$371.25</del>	\$595 <del>\$446.25</del>	\$1,095 <del>\$821.25</del>	\$1,195 <del>\$896.25</del>	\$1,295 <del>\$971.25</del>	\$3,495 <del>\$2,621.25</del>

All specifications and availability are subject to change without notice. All terms and product names may be trademarks or registered trademarks of their respective owners, and are hereby acknowledged.

(a) Flatbed 101 (8.5" x 14") SKU: 4101B002 (\$495) - (b) Flatbed 201 (11" x 17") SKU: 6240B002 (\$1,095) - (c) WU10 (Wireless Adapter and Battery Pack) SKU : 6910B002 (\$169)

	OFFICE		PRODUCTION		NETWORK	
	DR-6030C (a,b)	DR-G1100/ DR-G1130 (a,b)	DR-X10C (b)	ScanFront 300/ ScanFront 300P	ScanFront 300/ 300P CAC/PIV	
Model	4624B002	8074B002 / 8073B002	2417B002	4574B002 / 4575B002	4574B007/ 4575B007	
Microchrome Speed (300 dpi/LTR/portrait)	80 ppm, 160 ipm**	100 ppm, 200 ipm** / 130 ppm, 260 ipm**	130 ppm, 260 ipm**	30 ppm, 60 ipm (200 dpi)	30 ppm, 60 ipm (200 dpi)	
Color Speed (300 dpi/LTR/portrait)	80 ppm, 160 ipm**	100 ppm, 200 ipm** / 130 ppm, 260 ipm**	130 ppm, 260 ipm**	25 ppm, 43 ipm (150 dpi) (SF300)	25 ppm, 43 ipm (150 dpi) (SF300)	
ADF Capacity	100 Sheets	500 Sheets / 500 Sheets	500 Sheets	50 Sheets	50 Sheets	
Interface	USB 2.0 / SCSI-III	USB 2.0	USB 2.0 / SCSI-III	10BaseT LAN 100BaseTX LAN 4 x USB 2.0	10BaseT LAN 100BaseTX LAN 4 x USB 2.0	
Bundled Software	CapturePerfect 3.0 EasyConnect (d/l) Kofax VRS 4.5 Basic ISIS / TWAIN	CapturePerfect 3.0 EasyConnect (d/l) Kofax VRS 4.5 Basic ISIS / TWAIN	CapturePerfect 3.0 EasyConnect (d/l) ISIS / TWAIN	ScanFront Administration Tool ScanFront Service	ScanFront Administration Tool ScanFront Service	
Suggested Daily Volume	10,000 Scans	25,000 Scans / 30,000 Scans	60,000 Scans	3,000 Scans	3,000 Scans	
Warranty (Included)	90 Days Adv. Exch.	90 Days Onsite	90 Days Onsite	1 Yr. Adv. Exch.	1 Yr. Adv. Exch.	
Optional	Available	Available	Available	Available	Available	
Other Features	Barcode Module III Exchange Roller	Auto Color and Double Feed Detection, Batch Separation	Dedicated Image Sensor Double Feed Re-try Mechanism	Fingerprint Reader (SF300P) Plastic Card Scanning Color Touch Screen	Secured Authentication Sign/Encrypt Email/Plastic Card	
MSRP \$100.00 / \$100.00	\$4,495 \$3,312.25	\$6,775 / \$9,975 \$5,081.25 / \$7,481.25	\$17,995 \$13,496.25	\$1,995 / \$2,295 \$1,496.26 / \$1,736.25	\$2,395 / \$2,695 \$1,796.26 / \$2,021.25	

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(a) Flatbed 101 (8.5" x 14") SKU: 41018002 (\$495) • (b) Flatbed 201 (11" x 17") SKU: 62408002 (\$1,095) • (c) WU10 (Wireless Adapter and Battery Pack) SKU : 69108002 (\$169)

the 1990s, the number of people in the world who are undernourished has increased from 600 million to 800 million (FAO 2001).

There are a number of reasons for this increase. One of the main reasons is the increase in the world population. The world population is expected to increase from 6 billion in 1999 to 9 billion by 2050 (United Nations 2000). This increase in population is expected to be concentrated in the developing countries, where the population is expected to increase from 4 billion in 1999 to 7 billion by 2050 (United Nations 2000). This increase in population is expected to be concentrated in the developing countries, where the population is expected to increase from 4 billion in 1999 to 7 billion by 2050 (United Nations 2000).

Another reason for the increase in the number of people who are undernourished is the increase in the number of people who are living in poverty (World Bank 2001).

The number of people who are living in poverty has increased from 1 billion in 1990 to 1.5 billion in 2000 (World Bank 2001).

This increase in poverty is expected to continue, with the number of people living in poverty expected to reach 2 billion by 2050 (World Bank 2001).

There are a number of reasons for this increase in poverty. One of the main reasons is the increase in the number of people who are living in rural areas (World Bank 2001).

The number of people who are living in rural areas has increased from 1 billion in 1990 to 1.5 billion in 2000 (World Bank 2001).

This increase in rural population is expected to continue, with the number of people living in rural areas expected to reach 2 billion by 2050 (World Bank 2001).

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