DEBRA BOWEN | SECRETARY OF STATE | STATE OF CALIFORNIA
MANAGEMENT SERVICES | CONTRACT SERVICES
1500 11th Street, Room 460 | Sacramento, CA 95814 | Tel (916) 653-5974 | Fax (916) 653-8324 | www.sos.ca.gov

September 19, 2013

Request for Information
RFI #13-020
Cal-Access Replacement System (CARS)

You are invited to review and respond to this Request for Information (RFI), entitled #13-020 – Cal-Access Replacement System (CARS). The purpose of this RFI is to elicit the advice and best analysis of knowledgeable persons in the vendor community to enable the office of the Secretary of State (SOS) to develop a Feasibility Study Report (FSR) that will meet the requirements of all stakeholders. The collective information provided by vendors will be used to develop alternatives for consideration and to estimate costs related to system acquisition for a proposed solution. In submitting your response, please comply with the instructions found herein.

In the opinion of the Secretary of State's Office, this RFI is complete and without need of explanation. However, if you have questions, or should you need any clarifying information, the contact person for this RFI is:

Contract Services
Secretary of State
(916) 653-5974
contractservices@sos.ca.gov

Please note that no *verbal* information given will be binding upon the State unless such information is issued in writing as an official addendum.

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Appendices

1. Introduction

1.1 Intent for the Request for Information (RFI)

The intent of this Request for Information (RFI) is not to select a proposed solution or a vendor. The intent of this RFI is to perform market research of the vendor community to enable Secretary of the State (SOS) to further develop a Feasibility Study Report (FSR) that will meet the requirements of all stakeholders. The collective information provided by vendors will be used to develop alternatives for consideration and to estimate costs related to system acquisition for a proposed solution. SOS understands that the data provided to vendors in this RFI is not sufficient to enable detailed analysis and costing by vendors. Please provide your best efforts based on your experience with other states and initiatives of this kind. This document shall not be construed as a request or authorization to perform work at the State's expense. Any work performed by a vendor to respond to this RFI will be at the vendor's own discretion and expense. This RFI does not represent a commitment to purchase or lease. No cost associated with responding to this RFI may be charged to the State for any reason. A response to this RFI will not preclude or provide an advantage to any vendor from future bidding opportunities with the State.

1.2 Proprietary Material

SOS will not accept any proprietary material. If, after opening all responses, a request is made to view any response to this RFI, SOS will comply with that request pursuant to the California Public Records Act.

1.3 Cal-Access Replacement System (CARS)

The SOS is seeking information via this RFI about existing technologies available for replacing CAL-ACCESS. This information will also be used to help develop a feasibility study in the coming months. Ideally, a replacement system would support both campaign and lobbying registration and reporting, although the SOS would consider a solution to replace the campaign finance reporting and disclosure only, and leave the lobbying reporting and disclosure functions to be addressed at a later time through modification of the proposed system or the addition of a separate system.

2. Current Environment

2.1 Program Background

The California Secretary of State's (SOS) California Automated Lobbying and Campaign Contribution and Expenditure Search System (CAL-ACCESS) is the primary tool used for meeting the mandates of the state's Political Reform Act (PRA) [hotlink to: http://www.fppc.ca.gov/Act/2013_Act_Final.pdf]. The PRA is a complex body of law, but at its most basic level, it requires campaign committees and lobbying entities that meet specified criteria to register with the SOS and disclose their financial activities to the SOS in a series of reports. CAL-ACCESS lets candidates and lobbyists electronically file their campaign statements and lobbying disclosure reports online and allows any member of the public to review those reports online, free of charge.

CAL-ACCESS was developed in the late 1990's and although it has been updated and modified over time, CAL-ACCESS suffers from the following limitations:

- *Obsolete platform* – Major portions of the system are running on an obsolete, 'virtualized' operating system and database management system that are no longer supported by vendors.
- *Lack of system documentation* – Key components of the system have no documentation, severely restricting the ability to migrate the system to a current, supported platform, or to easily modify the system to implement new laws and business requirements.
- *Lack of consistency and validation* – The database schema is oriented toward replicating the fields found on paper-based filings, rather than a true normalized design to ensure data consistency and integrity. Further, the system lacks basic validations, allowing the introduction of data entry errors made by filers into the system.
- *Inefficient user interface* – The inconsistent design of the user interface, as well as lack of support for basic program workflows, has resulted in a reliance on paper-based filing and a host of manual processes for tracking and validating incoming filings, resulting in an inefficient use of staff time.

The SOS is seeking information via this RFI about existing technologies available for replacing CAL-ACCESS. This information will also be used to help develop a feasibility study in the coming months. Ideally, a replacement system would support both campaign and lobbying registration and reporting, although the SOS would consider a solution to replace the campaign finance reporting and disclosure only, and leave the lobbying reporting and disclosure functions to be addressed at a later time through modification of the proposed system or the addition of a separate system. Therefore, response to this RFI may include reference to a stand-alone campaign finance reporting and disclosure system, a phased campaign finance reporting system implementation followed by implementation of a lobbying reporting and disclosure system, or a system that includes both functionalities.

The SOS is open to a wide-variety of technological approaches, including systems hosted off-site by a vendor.

Potential replacement systems should include at a minimum the features and capabilities described below.

2.1.1 Database

The system must include a relational database of sufficient capacity and performance to support approximately:

- Registration data for more than 125,000 state and local recipient committees, and 45,000 other state and local campaign filers (including Candidates, Officeholders, General Purpose Political Action Committees, Major Donors, Independent Expenditure Committees, and Slate-Mailer Organizations)
- 20 years of regular campaign reports and special campaign reports from state-level campaign filers
- Registration data for approximately 20,000 lobbying entities (e.g., lobbyists, placement agents, lobbying firms, lobbyist employers, and individuals attempting to directly influence government)
- 20 years of lobbying activity reports from state-level filers.

(Please see Appendix 1 – "Campaign Filing Statistics" and Appendix 2 – "Lobbying Filing Statistics" of the current system; see pages 14-16 of 16).

The preferred system design should be readily scalable to accommodate an annual growth rate of 10% in campaign and lobbying registrations and reporting activity, as well as potentially scalable to accommodate the incorporation of local campaign reporting.

The system should include functionality to permit archival of old campaign and lobbying reports from the system, with the capability to search, locate, and retrieve individual filing entities and their associated reports from the archive.

Finally, the system should be flexible enough to readily accommodate definition of new filer types, new reporting requirements for existing filers, and new data elements within existing reports and registrations.

2.1.2 Online Filing Application

The system must include an online filing application/functionality for registering campaign and lobbying entities and for entering and submitting campaign and lobbying disclosure reports.

The system should include functionality to permit new users to establish accounts for accessing the system without intervention of SOS staff. The system should also permit users to define and register new campaign or lobbying filer entities, as well as to modify the registration data for existing entities. New registrations and some changes to registration data must be held in a pending file until they can be reviewed and approved by SOS staff for compliance with law. Finally, the primary “owners” of a filer account will have the capability to designate other system users who may access the account and to establish permissions to view, edit, or affirm filing data for those users.

The system must include functionality to permit users to enter reportable campaign and lobbying transactions for regular and special disclosure reports, with the capability to save unfinished reports and resume entry at a later time. The system must also support multiple, simultaneous reports in process for a single filer.

The system should include functionality to feature an interview-based interface (similar to an approach made popular by Turbo Tax) to guide novice filers in registering new entities and reporting for those entities, but should also allow experienced filers to bypass the novice interface and directly enter filing data into the system. Users must also have the capability to validate a filing prior to submission and, if non-fatal errors are found, the option to either (a) correct the filing prior to submission or (b) submit the filing as-is, then amend the filing at a later date.

The system should include functionality to automatically notify users of events such as filing errors, past-due filings and fine assessments. Users should have the capability to configure their preferences for notification, such as email or text message.

The system should include a PCI compliant functionality to allow users to pay registration fees and fine assessments electronically.

Finally, filers should have the functionality capable of exporting filings in PDF format, as well as to export transactions and other data in an electronic format for use by another system.

2.1.3 Third-Party Systems

Campaign and lobbying filers who use a third-party system to capture and track their data should have the functional capability to upload disclosure reports from their systems into the new system once they have established a filer account in the system. The system should have functionality to support such uploads in either a new XML-based format to be established with the existing user community. The system should have the functionality to validate all incoming filings and provide the filer with immediate notice of any validation errors within a file.

The system should have the functionality to include an environment and process for testing and evaluating the compatibility of all filings generated by a third-party system with the established formats.

2.1.4 Enforcement

The system should have the functionality to automatically notify filers of required regular reports that have not been submitted by the filing deadline, at which point the report is considered late.

The system should have the functionality to automatically assess fines for late filings. The system should have the functionality to automatically notify the filer whenever a fine has been assessed, as well as generate follow-up collection notices for delinquent fines.

SOS staff must have the ability to:

- View the current and historic registration and reporting data for a filer, including the history of communications with that filer
- View any filing, including the validation errors associated with the filing
- View and correct any fine or fee assessment
- View a history of fees, fines, and payments for a filer

2.1.5 Other SOS Functions

The system must have the functionality to automatically assess registration fees for lobbying entities and must automatically assess an annual fee for ongoing campaign committees and new committees upon notice to SOS of qualification (i.e., exceeding the established threshold for contributions or expenditures). The system must include the functionality for accounting capabilities to track and report fine and fee assessments and payments, as well as to receive and account for all payments received at SOS.

The system must generate the Lobbyist Directory [hotlink to: http://www.sos.ca.gov/prd/Lobbying_Directory.pdf], as well as a log of all changes to lobbying registration within a specified period.

The system must have the functionality to also track Lobbyist and Placement Agent participation in statutorily required ethics training courses. It should automatically revoke the registration of those filers who do not participate in the required training by the deadline.

SOS staff should be able to generate correspondence to filers based on pre-defined templates, and automatically save an image of the correspondence to the filer’s record. Further, SOS staff should have the capability to attach to a filer's record an image of any correspondence received from that filer.

The system should have the functionality to include a variety of pre-defined reports about filers and their filing data, as well as system statistics about filer registration and filing activity. Additionally, SOS users should have the capability to create and save custom reports.

2.1.6 Public Disclosure Website

The system must have the functionality to include a public website for users to research, view, and export campaign and lobbying disclosure data. It must allow users to search for specific filers using a variety of criteria.

Once a filer is located in the system, the user should be able to view the current registration data for the filer, as well as historic changes to that data. Users must also have the capability to view a record of all reports submitted by that filer, a record of all fines and penalties assessed against a filer, and the ability to view the complete data of any report submitted. For amended reports, users should also have the capability to view the initially submitted version, as well as all amended versions of the filing.

Users should also have the capability to create custom reports of transaction data for a filer during a period specified by the user. Further, users should have the capability to filter and sort the transactions reported, and to export the results in an electronic format suitable for further analysis.

The system should have the functionality to allow users to generate special campaign reports, such as:

- Contributions or expenditures for a particular election contest or ballot measure
- Payments made to slate mailer organizations related to a particular candidate or measure, filterable by support or opposition
- Independent expenditures made in support or opposition of a particular candidate or measure, filterable by support or opposition

The system should have the functionality to allow users to generate special lobbying activity reports, such as:

- Lobbying spending by an industry/trade group over a user-specified period
- Lobbying spending for a specific bill or agency action over a user-specified period
- Top 10 lobbying firms by campaign contributions or lobbying expenditures over a user-specified period

2.1.7 Interface for Other Agencies

The system must include the functionality to include an additional interface(s) for staff at other government agencies, such as the Fair Political Practices Commission (FPPC) or the Franchise Tax Board (FTB) to view all data for a filer. The interface should also permit these entities to annotate a filer's record with information such as the findings from audits of a filer.

2.1.8 Other

The system must include the functionality for security provisions to prevent unauthorized access and alteration of filer data. The system must be available on a 24/7 basis (excluding scheduled maintenance periods), with provisions for backup and system recovery.

3. Response Requirements

3.1 Key Action Dates

Listed below are the key action dates and times by which the actions must be taken or completed. If the State finds it necessary to change any of these dates, it will be communicated via an addendum to this RFI.

Key Action Dates	Date
1. Release of RFI	09/19/2013
2. Due Date for Response to RFI	10/28/2013, 4:00p.m.

Dates of RFI (date and time) are approximate and may be changed if needed to allow the State additional time as needed.

3.2 Response Delivery

Please submit an electronic version of the response by no later than **Monday**, **October 28, 2013, 4:00p.m.** Responses may be e-mailed to ContractServices@sos.ca.gov. Printed copies of the responses also will be accepted US postal delivery at the following address:

Secretary of State
Attn: Contract Services
1500 11th Street. Room 460
Sacramento 95814

This RFI remains the property of the State at all times, and all responses to this RFI, once delivered, become the property of the State. If the bidder chooses to submit their response via e-mail, the State assumes no responsibility if the response is not received prior to the response submittal deadline due to being blocked by the SOS e-mail filter.

3.3 Response Format

To facilitate a timely and comprehensive analysis of all responses submitted, responses should be submitted using the format requested in this RFI. Supplemental materials may be provided, but for the purposes of this RFI, supplemental information should be directed specifically at addressing the issues contained in this RFI.

Vendor responses should provide the following information, in the following sequence:

1) Vendor Information
2) Relevant Experience
3) Description of Products
4) Description of Services
5) Description of Estimated Costs
6) Implementation Timeframe
7) Client History
8) Additional Information

3.3.1 Response Templates

The response requirements listed above in the RFI sections are guidelines for developing the RFI response and the sequence defined above. (Please see Attachment 1 – Vendor Questions and Experience, RFI page 11- 13 of 16)

ATTACHMENT 1
Vendor Questions and Experience

VENDOR EXPERIENCE

SOS welcomes all responses from vendors that offer existing products or development and implementation services for campaign and lobbying tracking. It is desirable that the vendor has experience implementing or hosting these solutions for its clients, but this experience is not required to respond to this RFI. All responses reflecting vendor's current capabilities and size are appreciated. SOS desires to understand the overall capabilities of the industry and is inclusive in this RFI, not exclusive.

1. Vendor Information

a.
Name: ____________________
Address: ____________________
City, State, and Zip ____________________
Company Type: (Public or Private?)
Company Size: (Total Number of Employees?)

Are you certified with the Department of General Services, Office of Small Business and Disabled Veteran Business Enterprise Services (OSDS) as:

a. California Small Business
Yes ☐ No ☐

b. Disabled Veteran Business Enterprise
Yes ☐ No ☐

b.
Primary Contact: ____________________
Name: ____________________
Title: ____________________
Address: ____________________
City, State, and Zip ____________________
Phone: __________ FAX: __________
Email: ____________________

c.
Regional or Local Offices: (List all offices)

Address: ____________________
City, State, and Zip ____________________
Primary Contact: ____________________
Phone: __________ FAX: __________
Email: ____________________

d.
Corporate Officers:

(List all primary owners, principals, or other significant members of executive management and titles here)

2. Relevant Experience

a. Have you implemented a campaign and/or lobbying reporting system for any government organizations? (*In Section 3, please describe your products. In Section 4, please describe the types of services you offer.*)

☐ Yes

☐ No

If "YES", please identify the jurisdiction(s) where those systems were implemented.

b. Was the system implemented within the client organization (as a COTS, MOTS, or custom-developed)) or vendor-hosted (i.e., Application Service Provider, Software as a Service)?

☐ COTS (commercial off-the-shelf product)

☐ MOTS (modified off-the-shelf)

☐ Custom developed solution

☐ Vendor-Hosted

c. How long has your company been in business?

How long has your company been successfully implementing solutions similar in scope and complexity to those of the CARS Project?

d. Has your company ever transitioned a campaign and lobbying system to or from another vendor?

If yes, what challenges did you face and overcome?

e. Is your company able to provide a product demonstration by February 28, 2014, to assist the SOS in understanding your product capabilities?

☐ Yes

☐ No

3. Description of Products

Please describe the campaign and/or lobbying system products that your organization offers. Include application suites or modules, list of functions or capabilities, and technology utilized. Please include attachments as necessary.

4. Description of Services

a. Support Services

Please describe the support services provided to customers. For example, does your organization provide your clients with a dedicated account team that provides technical and analytic support, as needed?

b. Industry Expertise

Please describe the industry expertise your organization possesses and provides to your clients that better assists them in using your solution in conjunction with their data.

c. Training Services

Please describe the training services that you provide to clients.

d. Other Services

Please describe any additional services, not identified previously, that you offer.

5. Description of Estimated Costs

Please provide your pricing methodology, your costing approach, key variables, and any assumptions made about your cost estimates.

SOS seeks an understanding of the potential costs associated with your solution, as well as the methodology and assumptions used to determine costs. Indicate what your organization believes to be reasonable potential costs associated with a new client of our size. The following categories are offered as suggestions, but are not exclusive of other cost categories that your company may use:

- Start-up
- Implementation
- Data conversion
- Data archive storage
- Maintenance and operations
- Client or user licensing model

SOS realizes that your estimates are based on limited information and will not be considered contractually binding. **Please be advised that these estimates are for informational purposes only.**

6. Implementation Timeframe

Please provide an estimated timeframe for implementation of your system. If possible, please provide a breakdown of the time required by major areas of effort.

7. Client History

Please describe your client history (e.g., number and types of clients, description of products and services provided, length of client relationships, etc.).

8. Additional Information

Please provide any additional information about your company, products, and/or services that you believe will help the SOS better understand your capabilities (e.g., additional current services, future plans to improve products and services, etc.).

APPENDIX 1
Campaign Filing Statistics

CAMPAIGN FILING

CAMPAIGN FILER COUNTS – BY TYPE AND STATUS

Filer Type	Active	Terminated	Suspended	Revoked	Inactive	**TOTAL**
Recipient Committees	15,058	83,280	26	136	59	**98,559**
Candidates & Officeholders	12,644	4,009	1	0	773	**17,427**
Major Donors & Independent Expenditure Committees	16,402	3	160	0	58	**16,623**
Slate Mailer Organizations	274	333	0	0	0	**607**

CAMPAIGN FILER COUNTS – BY TYPE AND LEVEL OF ACTIVITY

Filer Type	State	Sup Ct	Multi-County	County	City	Local	Unknown	**TOTAL**
Recipient Committees	18,306	769	5	13,576	15,127	50,017	759	**98,559**
Candidates & Officeholders	6,902	722	26	96	64	1,059	8,558	**17,427**
Major Donors & Independent Expenditure Committees	13,228	0	1	0	0	0	3,394	**16,623**
Slate Mailer Organizations	437	0	0	72	34	54	10	**607**

CAMPAIGN FILING ACTIVITY

FILINGS		SESSION/PERIOD							
FORM	Description	2001-2002	2003-2004	2005-2006	2007-2008	2009-2010	2011-2012	2013-2014 (to date)	**TOTALS**
	Registration Related Filings								
F400	SMO Statement of Organization	86	96	61	68	71	101	16	499
F402	SMO Statement of Termination	27	33	13	32	23	53	24	205
F410	RC Statement of Organization	14,888	14,618	13,935	11,770	19,975	20,406	6,715	102,307
F501	Candidate Statement of Intention	800	786	717	645	859	666	279	4,752
	Regular Campaign Disclosure Reports (excluding amendments)								
E530	Issue Advocacy	1	6	58	11	51	6	0	133
F401	SMO Campaign Statement	834	696	907	930	1,190	1,040	300	5,897
F425	RC Semi-Annual Statement of No Activity	411	440	431	368	506	403	76	2,635
F450	RC Campaign Statement (Short Form)	937	865	771	733	998	1,033	182	5,519
F460	RC Campaign Statement	23,386	24,581	30,160	28,545	33,359	30,352	5,875	176,258
F461	Major Donor & Indep Expend Cmtt Campaign Statement	7,585	8,405	11,098	7,658	7,951	5,439	1,058	49,194
F470	Officeholder & Candidate Campaign Statement	209	230	279	232	252	167	23	1,392
F470S	Officeholder & Candidate Campaign Statement (supplement)	388	171	125	167	148	142	6	1,147
	Special Campaign Disclosure Reports (excluding amendments)								
F465	Supplemental Indep Expend Report	1,083	1,490	2,394	1,380	1,875	2,544	174	10,940
F495	Supplemental Pre-Election Campaign Statement	18	98	130	90	112	42	54	544
F496	Late Independent Expenditure Report	1,770	2,432	2,851	1,766	1,962	2,329	306	13,416
F497	Late Contribution Report	21,466	21,099	27,241	20,859	24,959	18,249	4,243	138,116
F498	SMO Late Payment Report	718	486	419	511	805	201	159	3,299

Appendix 2
Lobbying Filing Statistics

LOBBYING FILING

LOBBYING FILER COUNTS – BY TYPE AND STATUS

Filer Type	Active	Terminated	Withdrawn	Suspended	Revoked	**TOTAL**
Clients	3,985	3,777	16	96	0	**7,874**
Lobbyist Employers	663	207	17	41	0	**928**
Lobbying Firms	680	392	79	25	0	**1,176**
Lobbyists & Placement Agents	2,495	1,747	231	128	57	**4,658**
Persons Making Payments to Directly Influence Government	524	1	1	53	0	**579**

LOBBYING ACTIVITY FILING

FILINGS		**SESSION/PERIOD**							
FORM	Description	2001-2002	2003-2004	2005-2006	2007-2008	2009-2010	2011-2012	2013-2014 (to date)	**TOTALS**
	Registration Related Filings								0
F601	Lobbying Firm Registration	466	540	645	735	748	886	772	4,792
F602	Lobbying Authorization form filed by Coalitions, Firms & Employers)	4,429	4,536	6,336	6,908	6,839	6,837	5,751	41,636
F603	Lobbying Firm or Coalition Registration	419	438	514	510	509	972	1,001	4,363
F604	Lobbyist Certification Statement	1,852	2,389	2,731	2,778	2,853	5,237	4,367	22,207
F605	Registration amendment (Firms, Employers & Coalitions)	3,787	3,414	3,023	3,207	2,623	3,508	1,258	20,820
F606	Notice of Termination	317	298	334	385	327	741	145	2,547
F607	Notice of Withdrawal (Firms & Lobbyists)	39	29	27	27	72	177	32	403
	Lobbying Activity Disclosure Reports								
F615	Lobbyist Activity Report	16,567	16,409	8,564	8,581	8,522	14,006	3,648	76,297
F625	Lobbying Firm Activity Report	5,307	5,467	2,738	2,754	2,799	3,193	776	23,034
F635	Employer/Coalition Activity Report	37,961	38,463	21,712	22,296	21,529	23,731	5,850	171,542
F645	Report of Persons Directly Spending to Influence Legislation	298	379	239	212	186	197	80	1,591
F690	Amendment to Lobbying Activity Report (all entity types)	2,542	1,749	151	57	52	246	45	4,842

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REQUEST FOR INFORMATION

RFI #13-020
Addendum #01

For:

Cal-Access Replacement System (CARS)

Date: October 24, 2013

The following change are hereby made to Secretary of State RFI #13-020. All changes are indicated in **bold** or strikethrough:

The RFI Section 3, Response Requirements – Subsection 3.1 Key Action Dates, No. 2 Due Date for Response to RFI (Page 9 of 16):

3. Response Requirements

3.1 Key Action Dates

Listed below are the key action dates and times by which the actions must be taken or completed. If the State finds it necessary to change any of these dates, it will be communicated via an addendum to this RFI.

Key Action Dates	Date
1. Release of RFI	09/19/2013
2. Due Date for Response to RFI	~~10/28/2013~~ **11/04/2013**, 4:00p.m.

Dates of RFI (date and time) are approximate and may be changed if needed to allow the State additional time as needed.

The RFI Section 3, Response Requirements – Subsection 3.2 Response Delivery (Page 9 of 16):

3.2 Response Delivery

Please submit an electronic version of the response by no later than Monday, ~~October 28, 2013~~ **November 4, 2013**, 4:00p.m. Responses may be e-mailed to

ContractServices@sos.ca.gov. Printed copies of the responses also will be accepted US postal delivery at the following address:

Secretary of State
Attn: Contract Services
1500 11th Street. Room 460
Sacramento 95814

This RFI remains the property of the State at all times, and all responses to this RFI, once delivered, become the property of the State. If the bidder chooses to submit their response via e-mail, the State assumes no responsibility if the response is not received prior to the response submittal deadline due to being blocked by the SOS e-mail filter.

Except as stated herein this Addendum, all other terms and conditions of this RFI shall remain the same.