**RFP 23167 Records Management System for the County Clerk and Recorders Division**

**Attachment B: Technical Proposal**

**Office of the County Clerk**

**Lake County, IL**

**Instructions:**

Request for Proposal (RFP) 23167 is a solicitation by Lake County, Illinois in which organizations are invited to compete for a contract among other respondents in a formal evaluation process.  Please be aware that the evaluation of your organization’s proposal will be completed by a team of Lake County employees and your organization’s score will be reflective of that evaluation.  The evaluation of a proposal is based upon the information provided by the Respondent in its proposal submission.  Therefore, a competitive proposal will thoroughly answer the questions listed.  The Respondent is expected to provide the complete details of its proposed operations, processes, and staffing for the scope of work detailed in the RFP document and supplemental attachments.

Please review Scope of Work in the RFP template and the requirements in **Attachment A Requirements** carefully.

Please use the yellow shaded fields to indicate your answers to the following questions.  The yellow fields will automatically expand to accommodate content.  Every attempt should be made to preserve the original format of this form.  A completed Technical Proposal is a requirement for proposal submission.  Failure to complete and submit this form may impact your proposal’s responsiveness.  Diagrams, certificates, graphics, and other exhibits should be referenced within the relevant answer field and included as legible attachments. Please complete **Attachment A Requirements** as a part of your Technical Proposal. A completed **Attachment A Requirements** is a requirement for technical proposal submission.

1. **Solution Overview**
   1. Please provide an introduction of your cloud-based proposed solution(s). Include the following in your response:
      * Overview of the system, including key features, and confirmation that the solution is accessible in all major browsers including Edge, Google Chrome, Safari, and Firefox.
      * System architecture description and diagram, (including all underlying technology, databases, and other required third-party solutions – outline all required third-party software including versions and your experience working with each software component).

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* 1. The Office of the County Clerk is interested in procuring a solution that includes innovative features and functions, to best serve the needs of our constituents. Please describe how your proposed product(s) incorporates innovative features and describe how those features are a differentiator amongst peers with similar solutions. Additionally, please describe how your team addresses ongoing product innovation, and how new, innovative features are made available to customers at no additional charge through ongoing licensing and/or subscription revenue.

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* 1. Please provide an overview of your product roadmap. How often are new releases made available? How often are new features pushed out and how are new features determined?

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* 1. Please provide an overview of how upgrades and patches are managed and approached at all levels – software packages, operating system, database, development frameworks, etc. Confirm that County has access to new functionality enhancements if they are deployed in new versions, or if additional costs are involved. Also include how the County will be impacted during these upgrades and patches.

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* 1. Please confirm how the County will be notified of any scheduled maintenance. Additionally, how can the County contact you to get more information about unscheduled or extended downtime?

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* 1. Please explain how the system will accommodate user growth and provide an explanation for accommodating this request, including how much growth can be reasonably managed.

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* 1. Please detail any hardware, equipment, or other devices requirements needed to be operable on your software.

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* 1. Please describe if the software requires any connectivity into the County's systems or networks (e.g. VPN, SFTP).

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1. **Security**
   1. Please provide a System Security Plan that includes a comprehensive overview of system and data security, and user access, for your solution.

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* 1. Please provide an overview of system logging and monitoring capabilities provided as part of your solution.

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* 1. Please provide an overview of the security certification(s) obtained by your company and/or for your solution.

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* 1. Please provide an overview of the security measures used to safeguard against unauthorized access, disclosure or theft of personal data and non-public data.

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* 1. Please provide a documented process for how system, application, and data backups are performed? Also describe the routine for backups (full, incremental, differential, continuous, daily, weekly, etc.).

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* 1. Please describe if any additional third-party vendors will have access to customer data via our relationship with your organization. If yes, please include backup and recovery vendors, application and service providers, software, and hardware support vendors, etc.

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* 1. Please provide some details around your permission scheme, including but not limited to:
* Do all users have access to the entire application, or can you customize who has access to what on an individual and by role basis?
* Are permissions granular?
* Can the Country give permissions to areas based on department?
* Does the software provide appropriate role-based access? (e.g. can view/edit/delete data, or approve/reject ability can be restricted or enabled based on a user's role or profile)

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* 1. Please confirm that your proposed solution has the ability to log to a SIEM (Security Information Event Management) system.

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* 1. Please confirm that you have reviewed requirement ID 1.9.1. in the Technical tab of **Attachment A Requirements**. If you are unable to provide a copy of your most recent SOC 2 report, then please complete the supplemental security questions as outlined in **Attachment C Supplemental Security Questions**.

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1. **Scope of Work**

Respond to each required section below, describing how you will meet the required services, milestones and deliverables outlined in each section.

* 1. Please outline your **implementation methodology and approach** along with outlining how County personnel will be involved.

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* 1. Please describe your approach to meeting the following related to **Data Conversion:**

The vendor must convert **all** records and data from the existing solution(s) to the proposed solution(s).

The vendor shall map data, documents, and images from the legacy source system(s) to the new solution(s) and shall test all converted data, documents, and images. The vendor shall assess data quality and support data cleansing as necessary in order to migrate data. An overview of data in the legacy systems is provided below:

**Digital Records Inventory**

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| Source System | Record / File Type(s) | Approximate Number of Records  *(as of September 2023)* | Approximate Database Size  *(as of September 2023)* | Average Transactions per Day |
| Cott Systems Resolution Indexes | SQL Database | 6.545 million records | 79.84 GB | 400 documents (FY2018-FY2022)  245 documents (FY2023 YTD) |
| Cott Systems  Resolution Images | Single page TIF group IV images | 30.29 million images | 1.87 TB | N/A |
| Cott Systems  Resolution Online Index Books (OIB) | Single page TIF group IV images | 11.028 million images | 636 GB | Static historical data & images from mid-1800’s thru 12/1979 |
| Microsoft Access | Index of microfilm records | 572K Birth  228K Death  390K Marriage | 60 MB  22.4 MB  45 MB | None |
| OnBase |  | N/A | 402 GB\* | N/A |
| SQL DB | Assumed Business Name & Solicitor records | 170K in 7 tables | 78 MB | 1100 new records or updates per year |
| SQL DB | Statements of Economic Interest | 445K in 28 tables | 75 MB | 4800 active filers |
| SQL DB | Marriage & Civil Union records | 95K in 9 tables | 165 MB | 3300 Marriages/ Civ Unions per year |

**\****This storage amount is an estimate and serves as a basis for scoping and pricing purposes.*

**Physical Records Inventory**

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| Source | Record / File Type(s) | Microfilm Tape Total | Number of Images (per tape) |
| 16mm Microfilm | Birth | 258 | 2,500 per roll |
| 16mm Microfilm | Death | 77 | 2,500 per roll |
| 16mm Microfilm | Marriage Certificates | 155 | 2,500 per roll |
| 16mm Microfilm | Marriage Applications | 50 | 2,500 per roll |

**\****This storage amount is an estimate and serves as a basis for scoping and pricing purpose*

The vendor must provide a Data Conversion plan that describes the processes required to convert all historical data into the new system. This includes at a minimum:

* A detailed mapping and conversion process
* Confirmation to the understanding that all data obtained in the performance of this contract shall become and remain property of the County. Additionally, at no time must any data or processes – that either belong to or are intended for the use at the County or its officers, agents or employees – be copied, disclosed or retained by the vendor or any party related to the service provider for subsequent use in any transactions that does not include the County
* Confirmation that the vendor must protect the confidentiality of all customer data in the performance of this contract and shall encrypt data while at rest and in transit
* A description how to export data from the vendors software if needed
* Confirmation that data is completely deleted when deleted from the software

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* 1. Please describe your approach to meeting the following related to **System Interfaces**:

The vendor must interface with the following systems as applicable:

1. **Illinois Department of Revenue (IDOR) MyDec**

MyDec is an online system that allows individuals to electronically file their real estate transfer tax declaration PTAX-203 forms with the Illinois Department of Revenue via https://mytax.illinois.gov/MyDec/\_/.

The Office of the County Clerk uses an API web services interface (additional details can be provided upon request) to step the MyDec PTAX from CLOSING COMPLETED status to ASSESSOR REVIEW status. Various data elements are passed back and forth between the recording software and the IDOR website.

The Office of the County Clerk is responsible for collecting the tax amounts due and remitting the state tax portion to IDOR on a monthly basis, so the functionality of this interface is highly critical.

1. **Tyler Technology Enterprise Assessment & Tax Software powered by iasWorld**

Tyler’s Enterprise Assessment & Tax powered by iasWorld is a software designed to assist local governments, specifically in the field of property assessment and tax administration. It helps jurisdictions manage property assessments, tax billing, and collection processes.

The Chief County Assessment Officer (CCAO) utilizes Tyler’s Enterprise Assessment & Tax powered by iasWorld and currently relies on a manual export XML data and images from the Clerk’s Office’s Cott Systems Resolution application to be used by the Tyler solution. It is the desire of the CCAO to automate this process of sharing of XML data and images in the future solution.

| System Name | Data sent to, or received from, this system? | Frequency | Approximate Record Volume | API available? |
| --- | --- | --- | --- | --- |
| IDOR MyDec | Bi-Directional | On Demand | 20%-40% of daily recording (highly variable) | Yes |
| Tyler Technology Enterprise Assessment & Tax Software powered by iasWorld | Sent to | Weekly | 100% of weekly recording | No |

In addition to the system interfaces, the vendor shall provide standard API capabilities so that potential future system integrations or interfaces that are unknown today have the potential to be assessed

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* 1. Please describe your approach to meeting the following related to **Reporting**:

The selected vendor will be required to provide reports as outlined in **Attachment A** Requirements carefully, as well as provide ad hoc query capabilities. The vendor must supply a data dictionary or the equivalent to allow for the County to create custom queries, processes and reports. The vendor shall provide business intelligence tools, such as Tableau or PowerBI, to use for visualizing data.

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* 1. Please describe your approach to meeting the following related to **Testing:**

The vendor will be responsible for providing a Testing Plan that allows for adequate and thorough testing that will produce evidence that the system is configured to meet all of the County's requirements. This evidence must be in a form that is reviewable by County resources to verify the result of the testing. The testing plan must include at a minimum:

* Overall Testing Strategy
* System and Integration Testing
* User Acceptance Testing
* Regression Testing
* Testing Schedule
* Risks/Assumptions
* Tools
* Resources/Roles & Responsibilities

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* 1. Please describe your approach to meeting the following related to **Training:**

The vendor must provide adequate and thorough training for all County personnel including County systems support resources as well as all County professionals. The select vendor must provide a Training Plan that includes:

* A timeline for all training activities
* A list of all training materials that will be developed to support the initial implementation
* A description of the type of sessions that will be provided (e.g. in person, virtual)
* Confirmation that training will be void of any personal identifying data
* Confirmation that a sandbox environment will be available for County staff to train in
* A description of the types of training materials that will be developed for users who learn in a variety of formats
* A list of the County resources needed to support in all training activities
* A description of how training materials will be maintained/updated over the lifecycle of the system.

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* 1. Please describe your approach to meeting the following related to **Go-Live Support**:

The vendor must provide the following services and deliverables:

* Go-live / Cut-over plan
* Go-live support for 30 days post go-live
* Issue / bug tracking and resolution

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* 1. Please describe your approach to meeting the following related to **Post Implementation Support**:

The vendor must provide the following services and deliverables:

* Tier 1 support description
  + A description of customer support included in your standard license agreement at no cost to the County
  + A description of the vendor’s support desk's days / hours of operation
* Tier 2 support description
  + A description of customer support included in your standard license agreement at no cost to the County
  + A description of the vendor’s support desk's days / hours of operation
* A description of how to receive functional related questions (e.g. web-based support site)
* A process to engage support and the expected response time
* A description of the vendor’s disaster recovery process and how frequently it is tested
* A description of the vendor’s standard SLAs
* A description of any outages or failures experienced within the last 12 months, including those length of the outage duration and times to recover

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* 1. Please describe your approach to meeting the following related to **Project Management:**

The County requires the vendor to manage the implementation from contract award, through implementation, and during post go-live support. Please describe your project management approach that includes, at minimum, the following services and deliverables:

* Project charter
* Weekly project status report and meeting
* Monthly executive sponsor status report and meeting
* Change control process
* Issues tracking
* Risk tracking

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1. **Implementation Timeline**

Provide a detailed project schedule conforming to the required activities and deliverables outlined in **Section 3 Scope of Work** in **Attachment B Technical Proposal** and aligning with a go-live on or before May 1, 2024.

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**5. Staffing**

* 1. Provide a detailed staffing plan including a project organizational chart outlining your proposed staffing model. Provide a description of each role and identify resources to fill each role. Provide a resume for each identified resource including education, experience, and certifications.

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* 1. Please describe the roles and time commitment required for each role for the County to participate in your implementation process.

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* 1. Please describe any software technical configurations needed that involve the County’s resources.

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* 1. Please describe the roles and time commitment required for each role for the County to maintain the system after implementation. This must include technical resources to maintain and support the system and end resources required for end-user support for the County.

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**6. Functional and Technical Requirements**

Please confirm you have completed the Requirements matrix (**Attachment A**) and are submitting it as part of your response. The Requirements matrix must be submitted in Excel.

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