



Request for Information (RFI)

Workflow and Document Management System

Introduction

The Maine Secretary of State, Bureau of Corporations, Elections, and Commissions is comprised of two separate divisions, the Division of Corporations, UCC and Commissions and the Division of Elections.

The Division of Corporations, UCC and Commissions serves as a repository for all records relating to over 77,000 business entities and nonprofit corporations operating in the State and over 210,000 liens filed on personal property under the Uniform Commercial Code (UCC).¹ In accordance with these responsibilities, the Division:

- files all originating documents, amendments, cancellations and annual reports relating to business entities and nonprofit corporations registered to operate in the State;
- assesses penalties (including dissolution and revocation) on non-compliant entities;
- maintains over 8,600 service and trade marks on file; and
- annually files over 60,000 original records, amendments and renewals of security interests in personal property under the UCC and the Federal Food Security Act.

As an official record and for authenticating official acts, the Division also administers and maintains all records and documents pertaining to:

- the appointment, renewal and continuing education of over 28,000 Notaries Public;
- the application process for nominees for the office of Dedimus Justice;
- requests for authentications, Apostilles and other certifications on the acts of public officials;
- the appointments and information for over 260 boards and commissions; and
- petitions for Executive Clemency.

Within the Division of Elections, the Bureau receives filings related to rules adopted by State agencies under the Administrative Procedure Act (APA). In this capacity, the Division:

- serves as an advisor to state officials, interested parties and the general public regarding rulemaking procedures;
- maintains and distributes all official forms used by agencies to submit proposed or adopted rules;
- enforces standardization of formatting for electronic and paper documents;
- serves as the repository for adopted rules; and
- posts notices of rule-making and adopted rules on the Bureau website.

Currently, the Bureau uses a combination of outdated custom applications to manage documents and data in an Oracle environment. The client/server technology in use is no longer supported by the vendor and has become increasingly difficult to maintain and upgrade. Additionally, individuals attempting to access older versions of agency rules (MS Word) may experience problems related to incompatibility. Because of these issues, Maine would like to implement a new data and document management system.

¹ All statistics cited in this RFI document are accurate as of 6/30/2008.

The Bureau plans to issue an RFP for this solution during mid to late summer of 2009 and will incorporate key features of available systems as part of that document.

Expected System Requirements

The Bureau is interested in Workflow and Document Management solutions that will meet its current needs and is scalable to account for future growth and/or additional responsibilities. The system must:

1. be capable of interfacing with external databases related to the Bureau's existing online applications and other business partners;
2. provide functionality for scanning paper documents, capturing electronic documents, and storing them in a universal and non-proprietary imaging format on a centralized server or storage device;
3. enable the indexing, storage and retrieval of existing electronic documents;
4. accommodate multiple users and scanning stations;
5. allow for a configurable workflow;
6. capture the necessary data; and
7. generate reports, acknowledgements, certifications, and copies of original documents (plain or certified).

Method of Response

The Bureau is interested in a timely response to this RFI. Materials answering this request should be sent to the address below. Responders are asked to limit their responses to thirty pages or less. In addition, the Bureau is encouraging on-site presentations highlighting the components of suitable systems to a group of key Bureau personnel; however web presentations are also acceptable in cases where a site visit would cause undue hardship. This group intends to learn as much as possible about solutions presented to them that meet the expected business requirements.

System Demonstrations

The Bureau reserves the right to contact one or more of the responders by phone or through e-mail for the purposes of obtaining additional information or scheduling a demonstration. The State of Maine also reserves the right to take no further action in response to the information received. Requests for demonstrations will be solely at the discretion of the Bureau.

Demonstrations will be scheduled during the month of March and will not exceed three (3) hours, including time for questions and answers. Demonstrations can be conducted through the Web or on-site in the Augusta, Maine area. The Bureau will schedule a facility for on-site demonstrations. All costs associated with the demonstration other than the facility will be the responsibility of the responder.

Disclaimer

This RFI is issued solely for information and planning purposes only and does not constitute a solicitation for services. Responses to the RFI will not be returned and may be subject to public disclosure if requested. Responders are solely responsible for all expenses associated with responding to this RFI. Any solicitation for services or procurement resulting from this RFI will take the form of a standard Request for Proposals at the point in time that it satisfies the needs of the State of Maine and be so offered.

Responder Questions

Questions regarding this Request for Information may be sent via email to Katharine Moore (Katharine.Moore@maine.gov). The deadline for submitting questions is 5:00 PM local time Friday, February 20, 2009.

Responses to the RFI

Responses should be sent by regular mail or private courier by Friday, February 27, 2009 to one of the following addresses.

Mailing address:

Katharine Moore, Project Manager
Bureau of Corporations, Elections, and Commissions
101 State House Station
Augusta, Maine 04333-0101

Physical address:

Bureau of Corporations, Elections, and Commissions
Attn: Katharine Moore, Project Manager
Burton M. Cross State Office Building, 111 Sewall Street, 4th floor
Augusta, Maine 04333-6830

Please include twelve (12) copies of each set of materials sent as a response to this RFI.