



STATE OF TENNESSEE
DEPARTMENT OF COMMERCE AND INSURANCE

REQUEST FOR INFORMATION
FOR
COMPREHENSIVE ONLINE REGULATORY AND ENFORCEMENT (CORE) SYSTEM

RFI # 33501-231023

November 3, 2022

1. STATEMENT OF PURPOSE:

The State of Tennessee, Department of Commerce and Insurance (“TDCI”) issues this Request for Information (“RFI”) for the purpose of identifying vendors with expertise and experience in delivering solutions for managing TDCI’s licensing, enforcement, and inspection system. The information obtained from responses to this request will be used by TDCI to plan the future procurement strategy for TDCI’s licensing, enforcement, and inspection system. We appreciate your input and participation in this process.

Throughout this RFI, TDCI seeks information on software solutions that currently exist in a cloud-based production environment to support the Comprehensive Online Regulatory and Enforcement (“CORE”) System. The TDCI will review responses to questions contained within this RFI and intends to observe the functionality of the vendors’ solutions in demonstrations. For the future procurement strategy, TDCI is planning to consider all options available to meet the current and future needs of the system for the following:

- Multi-license solution and robust permitting system that supports customized requirements for multiple board licenses, registrations, certifications, and permits (“credentials”),
- Online and mobile responsive portal for management of credentials including initial licensure, renewals, and general credential management,
- Digital credentialing, available in common electronic wallets,
- Public facing search criteria that is customizable by credential type,
- Back-office system for management and configuration of transactions, workflows, and validation,
- Remote inspection system,
- Case management, including online portal for submission of complaints, and
- New ideas and approaches for improving services.

2. ABOUT TENNESSEE DEPARTMENT OF COMMERCE AND INSURANCE:

TDCI and its Commissioner have statutory authority to administer the boards, professions, and programs in the Regulatory Boards, State Fire Marshal’s Office and Fire Prevention Administration, and Insurance divisions. The CORE system currently manages approximately forty (40) boards, one hundred forty (140) professions, and two-thousand two hundred (2,200)

transactions. The system issues approximately 200,000 permits and performs approximately 300,000 inspections annually. The online portal supports approximately eight hundred thousand (800,000) customers annually, and the back-office solution has over four hundred (400) users. TDCI seeks the best-in-class licensing, enforcement, and inspection solution. The information obtained through this RFI will be utilized to plan and prioritize the future of the CORE solution.

MISSION

Fostering fair marketplaces, public safety and consumer education that promote the success of individuals and businesses while serving as innovative leaders.

VISION

Protecting Tennesseans through balanced oversight of insurance and regulated professions while enhancing consumer advocacy, education, and public safety.

VALUES

Customer service excellence, strategic decision making, inclusive environment, transparent/efficient government, and principled actions.

- 3. PROPOSED SOLUTION(S):** TDCI is requesting to review Commercial Off-the-Shelf (COTS) solutions available to meet all or most of the needs listed in the Statement of Purpose above and List of Business needs (Table 3.1) below.

Table 3.1: List of Business Needs

MIGRATION & SYSTEM CONFIGURATION	
1.	Migration of existing data from current solution to the new application(s), including about 5 TB of storage
2.	System Configuration of existing transaction templates, workflows, and user roles from current solution to the new application(s), which encompass approximately 2,200 transactions and 400 users
ONLINE PORTAL	
3.	User log-in via user-specified credentials and the ability to add an existing credential to an account, to support approximately 1 million users
4.	Submit transactions , including all information required and subsequent documentation
5.	Payment via integration with the State’s payment processor
6.	Submit subsequent information as requested by TDCI staff or required by system validation
7.	Digital credentialing available to download existing credentials in common electronic wallets, such as Google, Apple, and/or Samsung
PUBLIC SEARCH	
8.	Search credentials utilizing configuration by license type, including status, education, insurance, and license specific information
9.	Translations to present credential statuses and other information in a user-friendly manner
10.	Disciplinary information displayed, including a copy of the supporting documentation
BACK OFFICE	
11.	Inbox to identify transaction assigned to a particular user or group of users
12.	Entity to identify a single individual or organization affiliated with one or more licenses
13.	Application <ul style="list-style-type: none"> • Preliminary Review of the submitted application and accompanying documentation to validate the data, determine sufficient information is received, or correct any problems. • Pre-Issuance Review, which may include referral to specific staff for financial review, education review, pre-license inspection, board review, or legal review • Credential Issuance from those authorized to approve the credential, which may be associated with a secondary fee

	<ul style="list-style-type: none"> • Credential Denial from those authorized to deny the credential, including notification of any appeal process • Renewal including notification and opening transactions on the portal in a timely manner
14.	License management , for approximately 1 million licenses including, but not limited to, updating contact and other pertinent information, viewing and updating related licenses, creating and sending ad hoc letters, viewing and exporting license history, and viewing and updating other license specific data
15.	Cash , including, but not limited to, generating receipts, maintaining payments, reconciling payments, managing payments made outside of the system, and creating payment audit trails
16.	Continuing Education and Exams , which includes the abilities to record and audit progress
17.	Reporting , which allows users to select criteria and view results within the system
18.	Administration , which allows users with administration rights to configure system security roles, configure data sources, configure profiles and workflows, and make other configurations within the system.
19.	Batch Processes , which are automated computer processing a large number of tasks to a particular group of records that meet defined criteria, in a non-stop, sequential order without a person interaction with the system doing the job
ENFORCEMENT AND CASE MANAGEMENT	
20.	Receive a complaint through the online portal, including ability for complainant to provide additional information, track, and manage progress for approximately 6,000 complaints per year.
21.	Respond to a complaint through the online portal, including ability for the respondent to provide additional information, track, and manage progress
22.	Administration of complaint , including the ability to send communications and code the complaint with status and activities
23.	Legal review and investigation of complaint , including reviewing documents, adding documents, and coding the complaint with status and activities
24.	Assessing penalties , including acceptance of orders, payment of penalties, and other requirements
25.	Payment Plans , which is the ability to accept partial payment on an agreed upon schedule
26.	License disposition , which is defined as the ability to notify staff and execute a change to the license status and/or the ability to renew a license
REMOTE INSPECTIONS	
27.	Workflow and assignment to schedule inspections and organize inspector's routes, for approximately 300,000 inspections annually
28.	Completion of inspection via checklist or form, including ability to take pictures and upload documents to the inspection
29.	Inspection results to be provided to customer on site, including signatures as necessary
30.	Follow-up or ad hoc inspection as needed
31.	Board notification and issuance of corrective action, as necessary
SYSTEM REQUIREMENTS	
32.	Cloud Hosting , which integrates with the State's Active Directory for approximately 400 users
33.	Data Requirements , consisting of framework for system operation and tables for essential license management while safeguarding personal identifiable information
34.	Performance Requirements , ensuring the system is available 99.9% of the time except for scheduled maintenance as defined by TDCI
35.	Security that meets all requirements listed at the following location: https://www.tn.gov/finance/strategic-technology-solutions/strategic-technology-solutions/sts-security-policies.html
36.	Audit trail , for changes in the database, including timestamp and user associated with the change.

37.	Backup and Recovery of the system that adheres to State regulations
38.	Date and Time Synchronization , which supports multiple time zones
INTEROPERABILITY	
39.	Integrations with continuing education, errors and omissions insurance, bond, TBI and FBI background checks, third-party billing systems, accounts receivable solutions, reporting software, and other applications
DATA WAREHOUSE AND REPORTING	
40.	Data Warehouse: the ability to access data for reporting, which includes backend access to an online analytical processing (OLAP) reporting or other agreed upon database by those designated by the State.
41.	Reporting: support State's connection to a suite of tools that can query and conduct analysis on the data contained in the database

4. COMMUNICATIONS:

4.1. Please submit your response to this RFI to:

Jennaca Harris, Director of Business Process Improvement
Tennessee Department of Commerce and Insurance
Davy Crockett Tower, 11th Floor
500 James Robertson Parkway
Nashville, TN 37243
Phone (615) 440-6375
Jennaca.Harris@tn.gov

4.2. Please feel free to contact the Tennessee Department of Commerce and Insurance with any questions regarding this RFI. The main point of contact will be:

Jennaca Harris, Director of Business Process Improvement
Tennessee Department of Commerce and Insurance
Davy Crockett Tower, 11th Floor
500 James Robertson Parkway
Nashville, TN 37243
Phone (615) 440-6375
Jennaca.Harris@tn.gov

4.3. Please reference RFI # 33501-231023 with all communications to this RFI.

5. RFI SCHEDULE OF EVENTS:

EVENT		TIME (Central Time Zone)	DATE (All dates are State business days)
1.	RFI Issued		November 3, 2022
2.	Written "Questions & Comments" Deadline	2:00 p.m.	December 1, 2022
3.	State Response to Written Questions and Comments		December 16, 2022
4.	RFI Written Response Deadline	2:00 p.m.	January 6, 2023
5.	State Completes Review of Responses and Schedules Demonstrations		January 20, 2023
6.	RFI Demonstrations	9:00 a.m.- 4:30 p.m.	February 6 - 10, 2023

6. GENERAL INFORMATION:

- 6.1. Please note that responding to this RFI is not a prerequisite for responding to any future solicitations related to this project and a response to this RFI will not create any contract rights. Responses to this RFI will become property of the State.
- 6.2. The information gathered during this RFI is part of an ongoing procurement. In order to prevent an unfair advantage among potential respondents, the RFI responses will not be available until after the completion of evaluation of any responses, proposals, or bids resulting from a Request for Qualifications, Request for Proposals, Invitation to Bid or other procurement method. In the event that the State chooses not to go further in the procurement process and responses are never evaluated, the responses to the procurement including the responses to the RFI, will be considered confidential by the State.
- 6.3. The RFI Coordinator will invite each Respondent, who is apparently responsive and responsible, to provide a demonstration of relevant functionality. Presentations will be held according to the schedule in Section 5 above at the following location:

Tennessee Department of Commerce and Insurance
Davy Crockett Tower, Conference Room TBD
500 James Robertson Parkway
Nashville, TN 37243
- 6.4. Demonstrations provide an opportunity for Respondents to explain and clarify their responses. Respondent pricing shall not be discussed during demonstration presentations.
- 6.5. RFI Responses become property of the TDCI and shall remain confidential unless a formal solicitation is completed. If a formal solicitation is completed, all RFI response materials will become part of the procurement file and will be available for public inspection.
- 6.6. The RFI Coordinator will schedule Respondent presentations during the period indicated by the RFI Section 5.5, Schedule of Events. When the Respondent presentation schedule has been determined, the RFI Coordinator will contact Respondents with the relevant information during the period indicated by RFI Section 5.4, Schedule of Events.
- 6.7. Demonstrations will be limited to one hour and will follow the agenda outlined below:

ITEM	TIME
Introduction: Company background information, including description of projects completed in similar scope and size.	5 minutes
List of Business Needs: Demonstrate how the company meets all or most of the business needs described in Table 3.1	25 Minutes
Best-in-class Solutions: Demonstrate new and upcoming features that the company's solution offers, which	15 Minutes

sets the application apart from others in the regulatory space.	
Questions & Answers: TDCI and STS leadership will present any questions based on the demonstration.	15 minutes

6.8. The State will not pay for any costs associated with responding to this RFI.

7. INFORMATIONAL FORMS:

The State is requesting the following information from all interested parties. Please fill out the following forms:

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TECHNICAL INFORMATIONAL FORM	
1.	RESPONDENT LEGAL ENTITY NAME:
2.	RESPONDENT CONTACT PERSON: Name, Title: Address: Phone Number: Email:
3.	BRIEF DESCRIPTION OF EXPERIENCE PROVIDING SIMILAR SCOPE OF SERVICES/PRODUCTS
4.	Vendor background experience and implementation of similar projects: 4.1 Describe up to three (3) projects in which your company has implemented, maintained, and hosted an enterprise-wide system for licensing, permitting, and enforcement. For each project, please describe: a.) Client Name and Industry, <i>e.g.</i> , TDCI agency, professions regulated, <i>etc.</i> b.) Name of the project c.) Brief description of the project d.) Size of the project in terms of: # professional license designations, # transactions configured, # transactions submitted annually, # online users, # back-office users, # enforcement cases annually, # inspections annually. e.) Technology platform and architecture f.) Interfaces/interoperability with other applications or organizations g.) Length of the project and the implementation date h.) The services and activities that your company performed for the project and the activities that the customer performed i.) Is the system still in use today? If yes, who is providing maintenance, support, and hosting services? j.) Can TDCI contact this entity for reference? If yes, please provide the contact information.

k.) What standards or best practices are met by the solution(s)?
5. Proposed Solution: Describe your solution(s) that meet the critical needs of TDCI. How does your solution(s) deliver the business needs described in Table 3.1?
6. Infrastructure and Technology: <ul style="list-style-type: none"> a. Describe the recommended cloud computing service for your technology. b. Describe how your system(s) meets security requirements listed at the following location: https://www.tn.gov/finance/strategic-technology-solutions/strategic-technology-solutions/sts-security-policies.html c. Describe the audit process within the product, including disaster recovery testing. d. Describe how Personally Identifiable Information (PII) is secured. e. Is the data encrypted at rest and in transit? f. What is the encryption level?
7. Software – Interfacing/Interoperability: Describe the interfaces and interoperability you have implemented with and between initial and continuing education, errors and omissions insurance, bond, TBI and FBI background checks, third-party billing systems, accounts receivable solutions, reporting software, and other applications.
8. Reporting Solutions: Describe reporting solutions you have implemented to integrate and report aggregate data from your systems. Include the tools, software, etc. used to implement the reporting solution and types of State resources that would be needed.
9. Describe your project management methodology, including resources necessary for an implementation of this scope and size. Will you use business partners during implementation? Can you provide an example of an implementation plan?
10. Data Conversion: Describe the typical strategy and approach your company has utilized to convert structured data from existing systems. What were the challenges and successes with your approach?
11. Configuration: Describe the typical strategy and approach your company has utilized to convert configuration from existing systems. What were the challenges and successes with your approach?
12. Describe your user acceptance testing and training approach, including resources necessary for an implementation of this scope and size. What are the recommended State resources needed to assist in UAT and training?
13. How do you make sure business operations are not impacted during roll-out of the solution?
14. Describe your release management process for updates, current releases, maintenance, and customizations required for compliance with federal and state law. What are your communication methods for maintenance, support, and system updates? Will you use business partners for maintenance and support?
15. Describe your approach to the sustainability and ongoing maintenance of your solution.
16. Describe how you approach organizational change management for a solution of this type.
17. Challenges/Risks: Based on your experience, please list and briefly discuss the top five (5) challenges and/or risks you would advise the State to consider as it moves forward with the project. Please include suggested mitigation strategies.

COST INFORMATIONAL FORM

1. Describe what pricing units you typically utilize for similar services or goods (e.g., per hour, each, per user, *etc.*):

2. Describe the typical price range for similar services or goods

3. Describe the typical price range for implementation

4. Describe the typical price range for annual maintenance and support

5. Describe the typical price range for hourly/daily services,
5.1. Describe which services are billed hourly/daily (e.g., project change requests, customizations, configuration management)
5.2. Describe the typical range for hourly/daily rates by resource (e.g., database administrator, business analyst, project manager).

ADDITIONAL CONSIDERATIONS

1. Please provide input on alternative approaches or additional things to consider that might benefit the State:

GLOSSARY

Term	Definition
State	The State of Tennessee, including all agencies involved with this RFI and RFP
TDCI	The Tennessee Department of Commerce and Insurance
STS	Strategic Technology Solutions, a division of Finance and Administration
CORE System	<p>Comprehensive Online Regulatory and Enforcement System. TDCI's licensing, permitting, and enforcement system, which consists of:</p> <ul style="list-style-type: none">a. Back-office software, which provides licensing and enforcement functions;b. Online portal, which provides online, mobile-responsive licensing functions;c. Mobile permitting, which is a fully automated and integrated inspection solution for field staff;d. Middleware required to support the application(s);e. Data warehouse used for reporting; andf. Non-production environments used for release management.
RFI	Request for Information
RFP	Request for Proposals
Credentials	Includes licenses, registrations, permits, and/or certifications.