

**COMMISSIONERS**  
BOB STUMP, Chairman  
GARY PIERCE  
BRENDA BURNS  
BOB BURNS  
SUSAN BITTER SMITH

JODI JERICH  
EXECUTIVE DIRECTOR



MATTHEW J. NEUBERT  
DIRECTOR

SECURITIES DIVISION  
1300 West Washington, Third Floor  
Phoenix, AZ 85007  
TELEPHONE: (602) 542-4242  
FAX: (602) 396-5661  
E-MAIL: securitiesdiv@azcc.gov

**ARIZONA CORPORATION COMMISSION**

**ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION**

**REQUEST FOR INFORMATION**

**MATTER & CASE MANAGEMENT SYSTEM**

June 2013

Arizona Corporation Commission, Securities Division  
Request for Information  
Matter & Case Management System

1	EXECUTIVE SUMMARY .....	3
2	AGENCY OVERVIEW.....	4
3	PROJECT OVERVIEW .....	6
4	RFI REQUIREMENTS PROCESS .....	7
5	HIGH LEVEL BUSINESS REQUIREMENTS .....	9

## 1. EXECUTIVE SUMMARY

---

The Arizona Corporation Commission, Securities Division ("Division") is seeking information from manufacturers/developers (hereafter "vendors") concerning a full feature contemporary matter and case management system along with web-based e-filing capabilities (collectively "MCMS"). The system will be used to enable the Division to accomplish its functions with greater efficiency and thoroughness thereby contributing to the public good.

The Division is considering the purchase of a highly configurable commercial off-the-shelf system. The specific schedule, deliverables, roles and responsibilities between the Division and the software vendor during implementation are yet to be determined. Vendors are encouraged to provide a "best practice" solution for the implementation of their software. This is only a Request for Information ("RFI"). By issuing this RFI, the Division does not express an intent, commitment, or promise to purchase a MCMS from respondents nor to issue a Request for Proposal ("RFP") in the future to procure a MCMS for such purposes. Responses to this RFI will not be considered by the Division as offers to enter a contract.

Vendors that respond to this RFI are expected to provide information, including, but not limited to, the technology and software solutions they offer for a MCMS.

This RFI is issued under the following terms and conditions:

1. This RFI is issued as a means of technical discovery and information gathering. This RFI is for planning purposes only and should not be construed as a solicitation nor should it be construed as an obligation on the part of the Division to make any purchase. The Division **will not become obligated** as a result of this RFI. Under A.A.C.R2-7-G301, responses to a request for information are not offers and cannot be accepted to form a binding contract.
2. Information submitted in response to this RFI will become the property of the Division.
3. As set forth in A.A.C. R2-7-G301, to the extent allowed by law, information contained in a response to a request for information may be considered confidential until the procurement process is concluded or two years, whichever occurs first.
4. Participation in this RFI is voluntary. The Division **will not pay** for any information herein provided in response to this RFI nor will it be liable for any costs incurred by the vendor in responding to this RFI.
5. The response shall be in a PDF file of no more than 100 pages. Colored displays, promotional materials, and the like may be provided, but are not required.
6. Vendors may be asked to provide a demonstration of their MCMS software. All demonstrations will be scheduled for the month of January 2014 and will be limited to 4 hours (a

half day, morning or afternoon). Please indicate your willingness to provide a demonstration of your product during that time period.

7. This RFI is being submitted strictly for the purpose of gaining knowledge of the products and services available. The vendor is not required to quote prices for any solutions proposed. However, general cost estimates, including your general pricing structure with a breakdown of normal initial costs, contractual hourly rates, and optional service/maintenance costs are requested. The figures provided are not binding.

At a high level, the Division has the following goals:

1. To increase fiscal and operational efficiency by reduction of redundant data entry;
2. To improve service and transparency to the public through e-filing capabilities;
3. To enhance the ability to share matter/case information across the Division;
4. To improve case and matter management through use of an integrated database with full search capability;
5. To consolidate existing data from separate legacy systems into a single system;
6. To enable electronic receipting of funds received in connection with securities licensing/registration applications and any other funds received;
7. To increase supervisory staff's ability to monitor, assess and report on the Division's activities.
8. To facilitate the Division's green initiatives by moving toward a paperless environment;

With this RFI, the Division seeks information regarding the features, quality, reliability, operations, warranty, cost, serviceability, installation, and use of MCMS software and related products and services.

## 2 AGENCY OVERVIEW

---

The Division" is one of seven divisions of the Arizona Corporation Commission ("Commission"). The Commission was created by Article XV of the Arizona Constitution in 1912 and is currently governed by five commissioners.

The Division administers the Securities Act of Arizona, A.R.S. §§ 44-1801 through 44-2126, the Arizona Investment Management Act, A.R.S. §§ 44-3101 through 44-3325, and the rules

promulgated thereunder (collectively the “Acts”). The Commission delegates authority to the Division to administer the Acts. The Division's staff currently numbers around 50 persons.

The Division strives to preserve the integrity of the securities marketplace through investigative actions to deter fraud, to provide registration and oversight of securities offerings, securities dealers and salesmen, and investment advisers and their representatives, and to minimize the burden and expense of regulatory compliance on legitimate business. The Division administers the Act through the efforts of two sections within the Division: 1) enforcement and 2) registration and compliance. References herein to “cases” typically refer to the enforcement section; references herein to “matters” refer to the activities of the registration and compliance section.

The Division’s enforcement section endeavors to ensure integrity in the marketplace and to preserve the investment capital formation process in order that capital is not lost to swindles or deceptive practices. Alone or in conjunction with the attorney general, members of the section bring administrative and civil actions against individuals and entities that violate the Acts. The Division may also refer cases to and work with the attorney general on criminal actions brought by the attorney general. The Division makes a substantial commitment to its cases once litigation is commenced. Staff attorneys handle all legal and technical aspects of the case. The Division’s investigators and certified public accountants provide essential litigation support in terms of marshaling witnesses, conducting financial and forensic analysis, and providing expert testimony. If an order is entered against an individual or entity requiring the payment of restitution to investors, administrative penalties or other charges, a collections specialist handles the receipting of such monies. The enforcement section also handles complaints from the public concerning non-licensed persons and entities.

The Division's registration and compliance section is comprised of two units: the registration unit and compliance unit. Attorneys and analysts in the registration unit review applications for securities registration and exemption, or licensure of securities brokers, salesmen, investment advisers, and investment adviser representatives. All filing fees and payments received by this unit are receipted and accounted for by staff. In addition to receipting monies, opening files, and updating the registrant data base, receipting staff generate reports, send out reminder letters to registrants or licensees regarding renewals, and collect late filing penalties.

The compliance unit has primary responsibility for conducting routine and for-cause examinations and investigations regarding the sales practices of securities broker dealers, salesmen, investment advisers, and investment adviser representatives throughout the state. The compliance section also receives and evaluates customer complaints from the public concerning registered securities dealers, salesmen, investment advisers, and investment adviser representatives.

**IMPORTANT NOTE:** As used throughout this document, "matter" may be a registration or licensing application, a public complaint under investigation, an examination of an investment adviser or broker dealer or similar event that does not involve litigation.

### Objectives

Provide an integrated case and matter management system with full search functionality across all Division areas

- These tools need to be simple, user friendly, flexible, and reliable.
- End users should be able to retrieve every “touch point” or interaction that an individual or firm has had with the Division through search queries.
- Data from several separate legacy systems will be migrated into the new system.

Provide a case/matter management system that is customized to end users

- All team members working on a case or matter should be able to review a snapshot of progress/milestones achieved and tasks yet to be completed.
- An intuitive dashboard by functional areas should enable users to access all information about a matter or case.
- The system should include case tracking capabilities.
- Deadline management with pop-up or email alerts must be included in the case matter management system.
- The system should have automated document generation/templates for routine/repetitive documents by functional area.

Public portal with online filing and payment capabilities

- Through the use of an interface with the case/matter management system, members of the public will have the ability to make filings online and attach documents
- The payment of fees to the Division by credit card must be implemented.
- MCMS must have the ability to make complex calculations of filing fees
- Online filing and payment capabilities must automatically interface with and update the matter/case management system.

Tools to assist Division management

- MCMS should include report writing tools that enable management to easily generate standard and ad hoc reports.
- Information entered into or deleted from the system must leave an audit trail.
- Case and matter records are subject to state archive and retention requirements.
- Case and matter records are subject to public information requests.
- MCMS should assist Division management in maximizing resource utilization.
- Division management should be able to monitor and assess staff assignments and work load through the MCMS.

Robust receipting functionality of moneys received by the Division

- MCMS must account for restitution payments, fines, penalties, interest and other charges assessed as a result of an administrative order.

- MCMS must account for and calculate filing fees paid by securities issuers which are subsequently deposited into four different state government accounts.
- MCMS must track examination fees paid by broker dealers.
- MCMS must be capable of calculating interest and sliding scale fees based on statutory criteria.
- MCMS must generate reports to reconcile and identify funds received.

MCMS must be readily configurable by the Division administrator with no assistance from internal IT

Tools to track and memorialize telephone inquiries and complaints from the public

#### 4 RFI REQUIREMENTS PROCESS

---

All vendors confirming their participation should send a Letter of Interest to the attention of:

**RFI Contact:**

Cathryn Mayers  
[cmayers@azcc.gov](mailto:cmayers@azcc.gov)

**RFI Schedule**

RFI key dates\* are the following:

June 21, 2013	RFI made available to vendors
July 15, 2013	Deadline for addressing questions
August 9, 2013 5:00 p.m.	Deadline for receiving vendors' responses (all material)
August 10 – 31 <sup>st</sup> , 2013	Responses to be evaluated
January - February 2014	Potential on-site presentations

\*These dates may change or be modified due to circumstances arising after this RFI is made available.

All questions related to this RFI should be directed to:

Cathryn Mayers  
 (602) 542-2805  
[cmayers@azcc.gov](mailto:cmayers@azcc.gov)

Vendors must ensure that the response to this RFI is delivered to the following address on or before August 9, 2013:

Arizona Corporation Commission  
Securities Division  
1300 West Washington, 3<sup>rd</sup> Floor  
Phoenix, AZ 85007

Attention: Cathryn Mayers

Any notices with respect to this RFI should also be mailed to the above contact and address.

### **Additional Information**

In addition to the information concerning MCMS products and capabilities, we would also like information concerning the following:

- **Durability:** Provide an estimate of the average number of years your software is likely to be supported before requiring a replacement or mandatory upgrade.
- **Warranty:** Provide details on the warranty you provide on your software.
- Provide evidence of your company's financial condition that would convince a potential customer that your company will provide support and upgrades for equipment and software for the next 10 to 20 years.

### **Functionality of MCMS Products**

The primary focus of this RFI is to determine the capabilities and services of vendors and the functionality of their MCMS and related products. Appendix A contains a list of capabilities and functionality in which the Division is interested. Please address the items listed in Appendix A and how your MCMS or related products handle the identified functions.

### **General Cost Estimates**

The vendor should provide an estimate of costs associated with their MCMS products, including licensing, consulting, and other services required to purchase, configure, implement and maintain their MCMS. These estimated costs should include software modifications, 3rd party interfaces, custom programming, upgrades, and all related costs including hardware, support, maintenance and training needed to implement their solution.

The vendor will not be held to any cost estimates provided in responses to this RFI. These estimates will only be used to support the Division's budget proposal to the legislature.

Appendix A

Information Sought by the Division in its RFI

Please follow this organization when providing the information requested.

- 1) Overview of your company and its solutions
  - a. Company history
  - b. Business units
  - c. MCMS products currently offered or deployed to the public sector
  - d. Number and qualifications of staff supporting products offered or deployed under 1(c) above.
  - e. Strategies for emerging technologies
  - f. Client references for government agencies that are equivalent in number of users and types of matters handled
  - g. Public sector case studies
  - h. Evidence of company's financial soundness
  
- 2) Your company's business model
  - a. Licensing details
  - b. Support/maintenance commitment
  - c. Help desk/issue resolution
  - d. Product enhancement/upgrade planning
  - e. Product modification, customization, configuration
  - f. Release scheduling and deployment
  
- 3) Your company's community involvement
  - a. Membership in industry groups
  - b. Standards development
  - c. Conferences/exhibits for past two years
  - d. Examples of thought leadership
  - e. Volunteer efforts
  
- 4) Technical Environment
  - a. Software development tools/environment
  - b. Database(s) supported
  - c. Data model
  - d. Architecture (e.g. client/server, open/closed)
  - e. Standards compliance

- f. Information exchange tools/methods
  - g. Reporting tools
  - h. Software configuration management
- 5) Hardware Specifications (what hardware and system configurations of the following are required for implementation?)
- a. Server details (processor, memory)
  - b. Operating system
  - c. Network environment
  - d. Virtual environment, redundancy, disaster recovery
  - e. Disk usage, storage requirements
  - f. Workstation requirements
  - g. Printer compatibility
  - h. Possible configuration options
  - i. Responsibility for hardware and system software maintenance
- 6) Product delivery methodology/practices – Describe how your company handles the following:
- a. Business development to contract
    - ✓ Assessment of opportunities - fit and capacity
    - ✓ Responses to RFIs and RFPs
    - ✓ Contract negotiations
  - b. Contract to delivery
    - ✓ Analysis of needs/fit/suitability
    - ✓ Identification of gaps/modifications
    - ✓ Design and development of customizations
    - ✓ Support for configuration
    - ✓ Testing and deployment
    - ✓ Onsite "go live" assistance
  - c. Delivery to maintenance
    - ✓ Help desk
    - ✓ Client environment replication
    - ✓ Support for custom coding
    - ✓ Assistance with new releases
    - ✓ Interaction with user groups/other input
- 7) Implementation Methodology
- a. What are your company's project management functions and responsibilities during the implementation process?
    - ✓ Are the project management functions handled by your Company's employees or independent contractors or by unaffiliated individuals? Please explain.
    - ✓ Does the project manager develop a project plan for migration of data from legacy systems, including roles and responsibilities, time and resource commitment needed from Division?

- ✓ What would be your Company's communication strategy with the Division during the implementation phase?
- b. What training, instructional requirements and materials are part of this implementation?
- ✓ Training methodology - instructor led, train-the-trainer, self-taught
  - ✓ Training options – online, webinar, onsite
  - ✓ Specialized training for system administrators
  - ✓ Syllabus information
  - ✓ Discuss pricing of different levels of training
  - ✓ Availability of user guides and job aids
- c) What data migration processes are recommended for an implementation? Address the following:
- ✓ Migration methods
  - ✓ Data validation
  - ✓ Archiving of data
- d) What timelines are recommended?
- ✓ Provide a sample implementation Gantt chart
- e) What do you see as the client's responsibilities?
- ✓ What is the Division responsible for during implementation?
  - ✓ What services does the vendor recommend supplying?
- 8) Ongoing maintenance and support
- a) What are support options for your product? Address the following:
- ✓ In-context help (within product)
  - ✓ Toll-free support number
  - ✓ Client maintained/staffed support desk
  - ✓ Online support
  - ✓ Other options
- b) What are the vendor's support goals? Address the following areas:
- i) Response times and resolutions times to the following incident levels
- ✓ Emergency e.g. system failure impacting one or more units
  - ✓ Critical e.g. system failure impacting one or more staff members
  - ✓ Standard help call
  - ✓ Other options
- c) What is recommended for problem escalation procedures?
- ✓ How are incidents tracked and handled?
  - ✓ What tools does the vendor support staff use?
- d) What are the timelines and procedures for system enhancements/updates etc.?

- ✓ How are the updates managed?
- ✓ How often are updates released?
- ✓ What is the typical downtime during an update?
- ✓ Can software system be updated easily due to legislative changes impacting case processing, etc.?
- ✓ How are enhancements/new feature requests handled?

9) Automation Capabilities

a) Application/workflow configurability

- ✓ Set up screens/user interface
- ✓ Set up role security/data access
- ✓ Set up workflow (including business rule triggers)
- ✓ Set up ticklers/alerts/notifications
- ✓ Set up data validations (for data entry)
- ✓ Set up document generation/batching
- ✓ Set up dashboard (appropriate to role or fixed?)
- ✓ Custom database elements

b) Management of person and business identities

- ✓ Robust search tools to identify possible matches
- ✓ Tools to identify possible duplicate identities
- ✓ Functions to merge and unmerge identities
- ✓ Functions to link and unlink persons, cases
- ✓ Comprehensive, formal business rules to govern how these utilities are used

c) Financial management

- ✓ Ability to accept payments received electronically and automatically credit those payments to a particular case or matter
- ✓ Ability to establish payment plan on the system: Create first payment plan and add a new payment plan or update first payment plan
- ✓ Ability to calculate interest on amounts due and payable over time
- ✓ Ability to calculate remaining fee due after payment of initial minimum base fee at an earlier time
- ✓ Ability to account for partial payments
- ✓ Ability to segregate registration fees paid into 4 separate accounts
- ✓ Reporting tools available in financial module
- ✓ Create transaction lists for balancing/reconciling cash received
- ✓ Revenue distribution
- ✓ Automatic setup of revenue distribution for obligations
- ✓ Distribute revenue to various state government accounts
- ✓ Disburse funds
- ✓ Adjusting entries (errors, non-sufficient funds)
- ✓ Ability to accept manual entry of payments received by check

- d) Accounting
  - ✓ Maintain list of accounts/payments due as result of case disposition
  - ✓ Maintain list of accounts/payments due for licensee renewals
  - ✓ Post interest accrued
  - ✓ Manage insufficient fund payments
  - ✓ Total and reconcile receipts
  
- e) Technical infrastructure
  - ✓ Infrastructure provides adequate response time and minimizes down time
  
- f) System security
  - ✓ User authentication
  - ✓ Security and integrity of the case processing and registration/license processing system, its data and documents during normal operations and after a system failure or outage
  - ✓ Configure and designate confidential data, documents, cases
  - ✓ Redaction capabilities
  - ✓ Audit trails provided
  
- g) MCMS database structure
  - ✓ The matter/case management system preferably would provide both person-centric and case or matter-centric views. A person-centric view, for example, would show all connections with the Division for a person.
  - ✓ All database elements should be date and time-stamped to allow re-creation of statistical/financial reports for any point in time.
  
- 10) Case or Matter Management
  - a) Case or matter initiation
  - b) Docketing/events
    - ✓ System docketing rules and statutory timeframes
  - c) Scheduling of events (ticklers, alerts, prompts, notifications)
  - d) Calendaring
  - e) Forms and document creation
  
- 11) Utility Functions
  - a) Ability to search and find and replace: enter search criteria
  - b) Ability to mass case update: "select all" or some from a list to perform action
  - c) Ability to collapse person records: combine two persons' records into a single record if found to be the same person
  - d) Ability to collapse organization cases: combine two organization records into a single record that are found to be the same organization (e.g. branch of bank)
  - e) Ability to consolidate cases: multiple cases for one person to treat as one case for Division actions
  - f) Ability to associate cases/matters: link different types of cases or matters to one person

- g) Ability to associate persons: family relationships, business ties
  - h) Spell check
  - i) Other utilities available not mentioned above
- 12) Expanded capabilities
- a) Public portal for e-filing functionality
  - b) Interface with third party vendors (e.g. collection vendors etc.)
  - c) E-payments (e.g. credit/debit cards/ACH)
  - d) Case/matter initiations and subsequent filing support
  - e) Connectivity and connections - user interfaces, payment handling, notices, MCMS integration
  - f) Security protocols for a) through e) above.
- 13) Case/matter initiation and indexing
- a) Initiating a case/matter based on paper submission processing (filing, scanning etc.)
  - b) Initiating a case/matter based on electronic receipt of case/matter documents and data
  - c) Acknowledgement or rejection of filings
  - d) Case/matter identifiers
  - e) Parties and participants in cases/matters
    - ✓ Party relationships with individuals, agencies, organizations etc.
    - ✓ Party identification, contact information
  - f) Case relationships with other cases/matters
  - g) Case/matter status
  - h) Case/matter management tracking
  - i) Case/matter assignment to team member
  - j) Assignment of tasks to team member
- 14) Ticklers, alerts, prompts, notifications
- a) Automatically create ticklers, alerts, prompts, and notifications based on business rules
  - b) Modify or satisfy ticklers, alerts, prompts and notifications based on business rules
  - c) Manually create and maintain ticklers, alerts, prompts, and notifications
- 15) "Docketing" functions for cases
- a) Paper filings
  - b) Electronic submissions
  - c) Service/returns
  - d) Subpoena tracking
  - e) Tracking time frames for action
- 16) Document creating and tracking
- a) Generate documents from MCMS data and templates
  - b) User creation and maintenance of templates
- 17) Entry of disposition of case – how would your system handle these?
- a) Order/judgment
    - ✓ Fines, fees, restitution, costs

- ✓ Generate correspondence to debtors regarding payment
  - b) Case/matter closure
- 18) Case post disposition compliance and execution
  - a) Monitoring compliance with order
- 19) Records Management
  - a) File tracking
    - ✓ Ability to restricted file access
    - ✓ Lost files
    - ✓ Ability of system to automatically label and/or Bates stamp documents
    - ✓ File location and status
  - b) Archiving and purging
    - ✓ Identify cases
    - ✓ Purge electronic data and indexes
  - c) Public information requests
  - d) Exhibits and evidence tracking
    - ✓ Receipts
    - ✓ Location and status
    - ✓ Destruction
  - e) Document management
    - ✓ Accept electronic documents and link to case
    - ✓ Apply case security to electronic documents
    - ✓ Display documents
    - ✓ Redaction
    - ✓ Annotation
    - ✓ Automatic indexing
- 20) Data Integrity
  - a) Integrity
    - ✓ Audit trails
    - ✓ Error correction
    - ✓ Error messages
- 21) Reporting
  - a) Business intelligent, dashboard presentations
  - b) User-configurable reports
  - c) Merge into third party software (e.g. Word, Excel, PowerPoint etc.)
- 22) Do you offer hosted solutions (e.g. cloud)?
  - a) If so, what security protocols are in place?
  - b) How would you protect the Division's data?
  - c) To what extent would a hosted solution impact project cost?

- 23) How does your document management functionality operate?
  - a) Is there open architecture?
  - b) What system(s) does it work with (e.g. IBM FileNet, Microsoft SharePoint, and Hyland OnBase)?
  
- 24) What types of service level agreements (“SLAs”) do you have with existing clients?
  - a) How are conflicts resolved?
  - b) How are the SLAs enforced?
  - c) At what point do you bill for services involving updates at the client request?
  - d) How have you dealt with legislative changes imposed on public sector clients that necessitate significant re-configuration of the MCMS?