



# ARKANSAS SECRETARY OF STATE

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## MARK MARTIN

March 31, 2016

Ms. Marty Garrity  
Director, Arkansas Bureau of Legislative Research  
Arkansas State Capitol Building  
Room 315  
Little Rock, AR 72201

Dear Ms. Garrity:

This letter is to notify you, as Director of the Arkansas Bureau of Legislative Research, the office of Secretary of State Mark Martin is in receipt of a letter from the Arkansas Legislative Council dated January 15, 2016. This letter instructed this office to begin the process of obtaining a new computerized campaign finance reporting system.

Item #1 in the letter specifies all state and district candidates file campaign contribution and expenditure reports and carryover fund reports in electronic form. As you are aware, legislation specifying this activity failed during the Regular Session of the 90th General Assembly. Fulfillment of this item will require successful legislative action prior to implementation by this office.

Item #2 mandates this office determine the cost and design of the system to be determined by the Request for Proposal (RFP) process. Attached to this letter is a copy of the necessary Request for Proposal. This RFP was issued on March 30, 2016 to select vendors deemed qualified to fulfill the terms of the RFP.

Items #3 and #4 are contingent upon receipt of replies from various vendors. The deadline for submission of responses to this office is April 22, 2016. At this time, I believe we are on a timeline sufficient for meeting the various implementation requirements as specified by the letter.

IF you have questions, please do not hesitate to contact me.

Sincerely yours,

A handwritten signature in blue ink, which appears to read "Kelly Boyd".

Kelly Boyd  
Chief Deputy Secretary of State



# Request For Proposal

*For An Online Integrated and Searchable Campaign  
Finance Reporting System*

March 30, 2016

## Arkansas Secretary of State

State Capitol Building  
Business Office  
500 Woodlane, Suite 12  
Little Rock, AR 72201



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### Confidentiality Statement

This document, and any attachments thereto, regardless of form or medium, is intended only for use by the addressee(s) and may contain legally privileged and/or confidential, copyrighted, trademarked, patented or otherwise restricted information viewable by the intended recipient only. If you are not the intended recipient of this document (or the person responsible for delivering this document to the intended recipient), you are hereby notified that any dissemination, distribution, printing or copying of this document, and any attachment thereto, is strictly prohibited and violation of this condition may infringe upon copyright, trademark, patent, or other laws protecting proprietary and/or intellectual property. If you have received this document in error, please respond to the originator of this message or email him/her at the address below and permanently delete and/or shred the original and any copies and any electronic form this document, and any attachments thereto and do not disseminate further.

### Vendor Information

Company Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Contact Phone #: \_\_\_\_\_  
Fax #: \_\_\_\_\_  
Tax ID # (TIN or SSN): \_\_\_\_\_ (Must include copy of current W-9 Form)  
State Minority Business: Yes \_\_\_\_\_ No \_\_\_\_\_

Do you or anyone at your company have a relative that works at the Arkansas Secretary of State's office? Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, please provide the name of that relative and relationship:

I certify that this proposal is made without prior understanding, agreement or connection with any corporations, firm or person submitting a proposal for the same services and is in all respect fair and without collusion or fraud. I understand that collusive bidding is a violation of State and Federal law and can result in fines, prison sentences, and civil damage awards. I agree to abide by all conditions of this bid, and certify that I am authorized to sign this proposal for the bidder.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print or Type Name

\_\_\_\_\_  
TOTAL BID (including Sales Tax)

## Submission Details

### Submission Deadlines

All submissions for responding to this request must be submitted and delivered to the office of the Arkansas Secretary of State, as stated below, no later than:

**April 22, 2016 by 4:00pm CST**

### Submission Delivery Address

The delivery address to be used for all submissions is:

**Arkansas Secretary of State's Office**  
**Attn: Business Office**  
**500 Woodlane, Suite 12**  
**Little Rock, AR 72201**  
Voice: 501-682-2008  
Fax: 501-682-1284  
Email: [purchasing@sos.arkansas.gov](mailto:purchasing@sos.arkansas.gov)

### Submission Questions and Clarifications

You may contact the following person if you have any questions or require clarification on any topics covered in this Request for Proposal:

Contact Name: Jody Parker, Purchasing Department  
Voice: 501-682-2008  
Email: [purchasing@sos.arkansas.gov](mailto:purchasing@sos.arkansas.gov)

### Submission Instructions

All information must be completed in full. Failure to sign statement below by authorized representative will render proposal invalid. All proposals must be typewritten or printed in ink. The vendor is cautioned to carefully read the instructions and the terms and conditions on the attached sheets. Failure to adhere to these instructions may result in rejection of the proposal. Proposals will be accepted until the time and date specified above.

Electronic submissions in response to this Request for Proposal are acceptable. Electronic submissions in response to this Request for Proposal will be accepted as long as they meet the following criteria:

Sent to our fax machine at 501-682-1284

Sent via email to: [purchasing@sos.arkansas.gov](mailto:purchasing@sos.arkansas.gov)

Document standards:

- Must be in Microsoft Word Format (.docx) or Adobe Acrobat Format (.pdf)

## Introduction and Executive Summary

In January of 2016, the Electronic Filing Systems for Campaign and Finance Reports Subcommittee of the Arkansas Legislative Council completed hearings and submitted a report to the full Arkansas Legislative Council on the feasibility of implementing a new system for the submission and review of all forms filed with the Arkansas Secretary of State, hereinafter referred to as "SOS." These reports included but were not limited to Campaign Finance and Expenditure Reports, Statements of Financial Interest, Lobbyist Reports and Political Action Committee (PAC) Reports. The report submitted by the subcommittee was subsequently adopted by the Arkansas Legislative Council. The report mandated the SOS develop and issue a Request for Proposal to qualified vendors, hereinafter referred to as "Vendor," to implement a fully functional electronic filing system. This system will allow all state and district candidates, hereinafter referred to as "Filers," file campaign contribution and expenditure reports, carryover fund reports, statements of financial interest, lobbyist filing reports, and PAC filing reports during and following the November 2018 election cycle.

The successful Vendor shall provide to the SOS a single, browser-based, centralized, statewide integrated reporting system as outlined in this Requirements document. The Vendor shall provide all necessary hardware, software, facilities (as required), application and system security, information technology project management services, data systems coordination, ongoing system operations; maintenance and support services, and training services, including individual SOS staff training and manuals specific to SOS users or administrators and for Filer users. The Vendor shall deliver a commercial off-the-shelf (COTS) campaign finance filing and management software tailored to the SOS specifications as outlined in this requirements document.

Vendors shall be asked to respond to the RFP with two options for the SOS: Cloud-based or a system based on housing the proposed solution on equipment provided by the SOS.

## Detailed Specifications

1. Vendor solution shall apply to the following reports submitted to and maintained by the SOS:
  - a) Campaign Contribution and Expenditure Report for State and District Candidates
  - b) State and District Candidate Campaign Contribution and Expenditure Report for Debt Retirement
  - c) State and District Candidate Exploratory Committee Contribution and Expenditure Report
  - d) State and District Candidate Final Campaign Contribution and Expenditure Report
  - e) State and District Candidate Carryover Fund Report
  - f) Political Action Committee Activity Report

- g) Political Action Committee Registration Form
  - h) Political Action Committee Termination Form
  - i) Lobbyist Activity Report
  - j) Lobbyist Registration Report
  - k) Lobbyist Termination Report
  - l) Statement of Financial Interest
  - m) County Board of Election Commissioner Financial Disclosure Statement
  - n) Extra Income Statement
  - o) Disclosure by Members of the General Assembly
  - p) Independent Expenditure Committee Registration Form
  - q) Independent Expenditure Report for Committees, Individuals, and other Entities
  - r) Exploratory Committee Registration Form
  - s) Exploratory Committee Contribution and Expenditure Report
  - t) Political Party Quarterly Reporting Form
  - u) County Political Party Committee Registration Form
  - v) County Political Party Committee Quarterly Reporting Form
  - w) County Political Party Committee Notice of Termination
2. The Vendor Proposed Solution, hereinafter referred to as "VPS," shall perform all File Management and Online Search functions from a common solution.
  3. VPS shall be a browser-based solution.
  4. VPS shall provide online help functions, editable by the SOS System Administrator(s).
  5. SOS System Administrator(s) shall have the capability and access functions necessary to update configurable data within the system, including but not limited to Contribution Limits, Filing Schedules, Deadlines, etc.
  6. VPS shall be database driven and capable of maintaining the history for a particular Filer or class of Filers and allow for querying data to provide a snapshot at any given point in time.
  7. VPS shall be comprised of three environments, each hosted on separate physical or virtual servers:
    - a) Development Environment
    - b) Test Environment
    - c) Production Environment
  8. Vendor shall maintain responsibility for daily data and system backup activities.

9. To ensure functionality across the widest range of users, VPS shall provide the ability to fully function on a minimum of the two most recent releases of Internet Explorer, Firefox, Google Chrome, and Safari.
10. VPS shall provide the following minimum online filing functionalities for Filers:
  - a) The proposed solution shall support both online upload and import of filing data as well as manual data entry.
  - b) The proposed solution shall provide the ability for Filers to create an account in the solution via their web browser.
  - c) The proposed solution shall allow for registration and auto-generated account numbers and passwords.
  - d) Following creation of Filer account(s) by the proposed solution, the Filer shall have the ability to enter contributions, expenditures, and other filing obligations into the system.
  - e) The proposed solution shall provide the ability to securely create and file any report, including all required contributions, expenditures, loans, outstanding obligations, and summary information into the solution without manual intervention by the SOS administrator(s).
  - f) The proposed solution shall provide the notification that a report was successfully filed via both onscreen pop-up windows and email.
  - g) The proposed solution shall provide the capability to create revisions prior to and amendments following the filing of the various reports.
  - h) The proposed solution shall report the amendment difference between filed reports.
  - i) The proposed solution shall provide the ability for Filers to search and create reports of the Filer's contributions, expenditures, loans and outstanding obligations.
  - j) The proposed solution shall provide the ability for the Filer and SOS to review all transactions, notifications, and correspondence between Filers and SOS.
  - k) The solution shall provide users with self-service functionality such as password resets and forgotten User ID.
11. The VPS shall provide the following minimum capabilities for the SOS as Administrators of the solution:
  - a) The proposed solution shall provide SOS personnel the ability to manage all content and permissions status of Filer accounts.
  - b) The proposed solution shall maintain the official list of all campaign committees, Political Action Committees, and Lobbyist Organizations, their responsible officers and affiliated candidate(s) if any.
  - c) The proposed solution shall provide reporting history for Filers.
  - d) The proposed solution shall provide SOS personnel the ability to add additional reporting dates as needed to accommodate special elections and any legislative changes.



- e) The proposed solution shall provide SOS personnel the capability to file paper filings via document scanning.
- f) The proposed solution shall provide SOS personnel the capability to create new category forms as mandated.

12. The VPS shall provide the following minimum online search capability accessible to anyone via the solution web browser:

- a) The online search functionality shall provide the ability, at a minimum, to search based upon candidates first and last name, election year cycle, contributor's name and address, and contribution amount.
- b) The search functionality shall provide the public the ability to create a query when using an advanced search feature. The public search shall provide the following search criteria:
  - i. Candidate
  - ii. Contributor
  - iii. Office sought
  - iv. Party
  - v. A specific amount of money
  - vi. An amount of money in a range including the option to select greater than, less than, equal to, and narrow results by returned contributions
  - vii. The date a transaction occurred
  - viii. Who the contributor/payee was using a first and last name or business name and their address
  - ix. The type of contribution or reason for the expenditure , and
  - x. The ability to sort their results.

13. The VPS shall provide the following minimum capabilities to generate reports:

- a) General Report Requirements for all reports to include a report title, report date, timestamp of report, page count of total pages, the ability to select criteria to produce the report.
- b) The Vendor shall enable effective ad-hoc reporting capabilities to the SOS.
- c) The Vendor shall provide full access to the data or data export capabilities for reporting purposes.
- d) The reports created shall be exportable to multiple formats.
- e) The proposed solution shall include the following reports, or functional equivalents.
  - i. Account List Report
    - 1. Description: Listing of all accounts regardless of Account Status and Current responsible Officer and Candidate information.
  - ii. Filing Status Report

1. Description: This report provides the number of Campaign Finance reports received on a specific date and the cumulative number of reports received by cycle.
  - iii. Contribution Report
    1. Description: This report details contributions and the relevant data pertaining to that contribution.
  - iv. Expenditure Report
    1. Description: This report details expenditures and the relevant data pertaining to that expenditure.
  - v. Outstanding Obligation Report
    1. Description: This report details debts and the relevant data pertaining to that obligation.
  - vi. Report Not Received
    1. Description: This report provides a list of Filers who failed to submit a report.
14. The Vendor shall demonstrate knowledge and proficiency with leading edge Web and Media solutions, architectures, technologies, nomenclature, and development practices, as well as use of industry best practices.
  15. The Vendor shall be proficient in creating websites and applications with a focus on site usability and user experience.
  16. The Vendor must have successfully implemented, at a minimum, three (3) statewide campaign finance reporting systems similar to the proposal offered by the Vendor in this RFP.
  17. The Vendor shall provide references from a minimum of three (3) states in which the Vendor has successfully implemented a statewide campaign finance reporting system.
  18. The VPS must be fully compliant with both the Americans with Disabilities Act and the Help America Vote Act (HAVA) requirements.
  19. The VPS must be capable of full functionality in both a hosted and hosting environment.

**OPTION 1 – HOSTING ENVIRONMENT:**

1. The Vendor shall provide a secure hosting environment with a technical architecture that will support the Campaign Finance and Expenditure reporting application
2. The hosted solution shall provide rapid transaction (no more than 3 second response times) speed for Filers, SOS users, and Internet Public performing searches to the Campaign Finance and Expenditure reporting database.

3. The hosted solution shall provide a Campaign Finance and Expenditure reporting system that is fail-safe for operations, secure from external attack or attempts at corruption
4. The hosted solution shall provide a detailed Disaster Recovery Plan
5. The hosted solution shall provide detailed security architecture for hardware, firewalls, intrusion detection and prevention software that meets or exceeds the Arkansas State Information Technology Security Policy and Standards

**OPTION 2 – HOSTING ENVIRONMENT:**

1. The Vendor shall provide an option that incorporates all of the requirements above but hosted in the SOS provided data center
20. Vendor shall provide a System risk plan that shall address, at a minimum, the risks to information security and the controls necessary to prevent unauthorized and/or illegal access, misuse, destruction, or theft of the SOS information technology assets.
21. Vendor shall provide the following minimum for ongoing maintenance and support:
- a. The Vendor shall provide SOS with continuous software maintenance coverage for the term of the agreement that includes new versions and upgrades, and authorized enhancements to the online Campaign Finance Reporting System, as a result of ongoing maintenance.
  - b. The Vendor shall use appropriate and State-approved security methodology that is encrypted as necessary. Updates that are small or moderate in scope, and emergency modifications, may be provided remotely through an FTP Server or the Internet, only after approval from SOS, and after notification to SOS that such updates or emergency modifications will be applied with approved and appropriate security.
  - c. The Vendor shall update all documentation to incorporate any new versions of the software products that comprise the online Campaign Finance Reporting System.
  - d. In addition to problem and issue management, the Vendor shall also provide unlimited telephone consultation, during SOS normal business hours.
  - e. The Vendor shall ensure that the COTS online campaign finance reporting and management product will remain current to the core-operating environment (operating system and database) in which it was built and delivered, at no expense to SOS.
  - f. The Vendor shall provide SOS with a process and procedure for notification of problems or issues experienced with the Campaign Finance Reporting System.
  - g. The Vendor shall implement a Maintenance Support Plan (MSP) addressing on-site and telephone support for SOS, during non-peak and peak filing periods.
  - h. The Vendor shall only perform maintenance activities during SOS approved maintenance windows.
  - i. The Vendor shall test all proposed software patches and configuration changes in the test environment prior to deployment to the production environment.

j. The Vendor shall test all patches and configuration changes after deployment to the production system to ensure system stability and the desired results of the software changes or configuration changes were achieved. In the event of failure, the Vendor shall restore the system to its previous state.

k. The Vendor shall update and incorporate new versions of the software in response to changes proposed by the Arkansas Ethics Commission or enacted by the Arkansas General Assembly.

22. All data in databases and information generated and stored by the VPS shall remain the exclusive property of the SOS.

### **Assumptions & Constraints**

Notwithstanding any description of fees, costs, expenses, or other expenditures of funds, Vendor acknowledges that the SOS is subject to Constitutional and statutory limitations on spending. SOS cannot spend any more money than that appropriated by the Arkansas Legislature, nor make any payments, or enter into any agreements or other contractual arrangements for payments, in excess of funds appropriated through the legislative process. Appropriations obtained through the legislative process are subject to other constraints of Arkansas Law, including the prohibition on deficit spending, and the limitations imposed through various cost controls, such as the Arkansas Revenue Stabilization Act. SOS agrees to exercise its best efforts to obtain funding at the contract rate during each annual session of the Arkansas Legislature, to which all of SOS spending obligations are subject. Therefore, SOS may terminate this Agreement effective upon delivery of written notice to the Vendor, or on any later date stated in the notice, under any of the following conditions:

- 1) If funding from federal, state, or other sources is not obtained and continued at levels sufficient to allow for purchase of the services or supplies in the indicated quantities or term. The Agreement may be modified by agreement of the parties in writing to accommodate a reduction in funds.
- 2) If federal or state laws or rules are modified or interpreted in a way that the services are no longer allowable or appropriate for purchase under this Agreement or are no longer eligible for the funding proposed for payments authorized by this Agreement.
- 3) If any license, permit, or certificate required by law or rule, or by the terms of this Agreement is for any reason denied, revoked, suspended or not renewed.
- 4) Termination of this Agreement under this subsection is without prejudice to any obligations or liabilities of either party already accrued prior to termination.

## **Terms and Conditions**

Final written approval of all project work shall be obtained from the SOS prior to initial delivery and installation. No additional fee shall be incurred for nominal changes. The SOS and the Vendor will work to come to an agreement on any additional fee that may apply should substantial changes (at no fault of the Vendor) be required.

## **Other Criteria**

### **TIMELINE**

The Arkansas Secretary of State will receive submissions relative to this RFP until 4:00 PM on Friday, April 22, 2016.

Notifications to the successful Vendor will occur no later than May 27, 2016.

System testing and implementation to begin by January 9, 2017.

User training to begin June 5, 2017.

Full system activation and required utilization to begin on December 1, 2017.

### **PROJECT MANAGER**

The Vendor shall provide a qualified, professional project manager who will be assigned to the contract to oversee all contractual obligations and responsibilities, serving as the primary contact for the SOS. This project manager will be available for meetings, discussions, and reviews and will interact between the SOS and the Vendor, relaying the opinions, creations, and strategies of the Vendor while soliciting comments from the SOS.

The SOS shall provide a qualified, professional project manager who will be assigned to the contract to oversee all contractual obligations and responsibilities, serving as the primary contact for the Vendor. This project manager will be available for meetings, discussions, and reviews and will interact between the SOS and the Vendor.

### **INVOICING**

In addition to lump-sum pricing, Vendor shall provide leasing options providing for a five year lease, including maintenance for the duration of the lease under the specifications outlined

above, and all applicable taxes. In the event the project proceeds under terms of a lease, the SOS will make the initial lease payment on or prior to June 30, 2016.

**ASSIGNMENT**

Any contract entered into pursuant to this Request for Proposal is not assignable nor the duties thereunder delegable by either party without the written consent of the other party of the contract.

**GENERAL TERMS & CONDITIONS**

Any special terms and conditions included in the Request for Proposal override these standard terms and conditions. The standard terms and conditions and any special terms and conditions become part of any contract entered into if any or all parts of the bid are accepted by the SOS.

**ACCEPTANCE & REJECTION**

The SOS reserves the right to accept or reject all or any part of a proposal or any and all proposals, to waive minor technicalities, and to award the bid to best serve the interest of the SOS.

**FINAL DECISION**

All decisions by the SOS are final. Bidders should understand that the SOS is not under Arkansas Procurement law in terms of its Request for Proposal procedures. This Request for Proposal is under the procedures of the SOS only.

# ARKANSAS LEGISLATIVE COUNCIL

Officers

**Senator Bill Sample**

Senate Co-Chair

**Representative David L. Branscum**

House Co-Chair

**Senator Terry Rice**

Senate Co-Vice Chair

**Representative Mark Lowery**

House Co-Vice Chair



**Room 315, State Capitol Building  
Little Rock, AR 72201**

**Marty Garrity**  
Executive Secretary

Tel: 501-682-1937  
Fax: 501-682-1936

January 25, 2016

The Honorable Mark Martin  
Arkansas Secretary of State  
Room 256, State Capitol Building  
500 Woodlane Avenue  
Little Rock, AR 72201

Dear Secretary Martin:

Please find attached the Report of the Electronic Filing Systems for Campaign and Finance Reports Subcommittee that includes the subcommittee's recommendations as adopted by the Legislative Council at its meeting on January 15, 2016, and which are hereby reported to you pursuant to Section 14, subsection (d) of Act 1280 of 2015.

Please contact Marty Garrity, Executive Secretary for the Legislative Council, if you have questions or comments.

Sincerely,

A handwritten signature in black ink that reads "Bill Sample". The signature is written in a cursive style with a large, stylized "S" at the end.

Senator Bill Sample, Co-Chair  
Legislative Council

A handwritten signature in black ink that reads "David L. Branscum". The signature is written in a cursive style with a large, stylized "B" at the end.

Representative David L. Branscum, Co-Chair  
Legislative Council

BS/DLB:vjf

Attachment

cc: Senator Missy Irvin, Co-Chair, Electronic Filing Systems for Campaign and Finance Reports Subcommittee  
Representative Jon Eubanks, Co-Chair, Electronic Filing Systems for Campaign and Finance Reports Subcommittee  
Ms. Marty Garrity, Executive Secretary, Legislative Council  
Ms. Sheri Thomas, Staff, Electronic Filing Systems for Campaign and Finance Reports Subcommittee

# ARKANSAS LEGISLATIVE COUNCIL



Senator Missy Irvin  
Co-Chair

Representative Jon Eubanks  
Co-Chair

## ELECTRONIC FILING SYSTEMS FOR CAMPAIGN AND FINANCE REPORTS SUBCOMMITTEE

January 15, 2016

The Honorable Bill Sample, Co-Chair  
The Honorable David Branscum, Co-Chair  
Arkansas Legislative Council  
Little Rock, AR 72201

Dear Senator Sample and Representative Branscum:

The Electronic Filing Systems for Campaign and Finance Reports Subcommittee of the Arkansas Legislative Council was created by Act 1280 of 2015 for the purpose of conducting a feasibility study of the electronic filing of campaign contribution and expenditure reports, carryover fund reports, and the implementation of a system for the review of the electronic forms. As Chairs of the Electronic Filing Systems for Campaign and Finance Reports Subcommittee, we wish to inform you of the Subcommittee's following recommendations:

- All state and district candidates file campaign contribution and expenditure reports and carryover fund reports in electronic form;
- The cost and design of an electronic filing system shall be determined by the Request for Proposal (RFP) process;
- Implement a fully functional electronic filing system before the November 2018 election cycle and for training on the electronic filing system to begin in June 2017; and
- Secretary of State's Office be directed to allocate funding for an electronic filing system similar to the systems reviewed by the Subcommittee for the Fiscal Year 2017.

Please do not hesitate to contact us if you have any questions concerning this report.

Respectfully,

Senator Missy Irvin  
Co-Chair

Representative Jon Eubanks  
Co-Chair