



STATE OF INDIANA

REQUEST FOR INFORMATION 25-80449

ADDENDUM #1

INDIANA DEPARTMENT OF ADMINISTRATION

ON BEHALF OF THE
Professional Licensing Agency

SOLICITATION FOR:
Licensing System Modernization (LSM)

Due Date and Time:

Monday August 26, 3:00PM ET

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Procurement Division

State of Indiana RFI 25-80449
PLA – Licensing System Modernization

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1. INTRODUCTION

This is a Request for Information (RFI) issued by the Indiana Department of Administration (IDOA) on behalf of the Professional Licensing Agency regarding the PLA – Licensing System Modernization.

1.1 JUSTIFICATION:

In a nutshell, we currently use a software platform called MyLicense to do our agency operations. MyLicense consists of several components, MyLicense Office (MLO), MyLicense Online Services, MyLicense Verification, MyLicense eGov, and MyLicense Mobile.

1.2 LEGACY SYSTEM DETAILS:

PLA operations relies on a software platform called MyLicense. MyLicense consists of several components, MyLicense Office (MLO), MyLicense Online Services, MyLicense Verification, MyLicense eGov, and MyLicense Mobile.

- MLO is our back-office system where staff process new applications and renewals. MLO was coded in Java and is hosted on premises.
- MyLicense Online Services, and eGov are our public facing sites where the public can apply for new licenses and renew existing licenses. eGov is a Legacy .NET application. We are transitioning to Online Services which is an Azure application hosted in the cloud.
- MyLicense Verification is a public facing website where license lookups are performed. It is .NET and hosted on premises.
- MyLicense Mobile is inspection software used by our compliance officers to do inspections of Pharmacies, Funeral Homes, and Beauty Culture Salons. Mobile uses .NET 2.0 and we are initiating a project to replace it with an Azure cloud application.

Our on-premises applications are hosted on Virtual Windows 2019 servers in the Protected Zone. Each application has a backend database hosted in IOT's data center on a SQL 2019 server.

I. MyLicense Office/One (MLO/1)

Area	Functionality
System Accounts	<ul style="list-style-type: none">• Security Roles<ul style="list-style-type: none">○ Admin○ Power Users (Board directors, assistant directors, senior licensing analyst)○ PLA End Users (Licensing Analysts)○ Read-Only Users (Call Center Representative)
Accounting	<ul style="list-style-type: none">• Fees<ul style="list-style-type: none">○ Tracking fees based on application types○ Fee types are customizable○ Fee destinations can be customized and redirected to custom funds<ul style="list-style-type: none">▪ Fees can be made up of multiple components○ Fee formula

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	<ul style="list-style-type: none"> • Payments <ul style="list-style-type: none"> ○ System accepts payments and can forward monies to satisfy fees – Client payments are balanced by system and based on fee type ○ System utilizes State's contracted payment processors and is PCI compliant ○ Daily report of collected payment <ul style="list-style-type: none"> ▪ REPORT OF COLLECTIONS / TRANSACTION DETAILS ▪ REPORT OF COLLECTIONS / RECEIPTS
Licensing	<ul style="list-style-type: none"> • Education <ul style="list-style-type: none"> ○ School Certification <ul style="list-style-type: none"> ▪ Lookup (externally sourced) ▪ Manual entry • Exam <ul style="list-style-type: none"> ○ Exam Types ○ Exam Dates ○ Exam Results • CEU Maintenance and Tracking <ul style="list-style-type: none"> ○ Course Titles ○ Course Types ○ Course Credits ○ Course Dates ○ Auditing Capabilities • Demographics <ul style="list-style-type: none"> ○ Licensee PII <ul style="list-style-type: none"> ▪ History/All licenses tied to the above ○ Business PII (includes FEIN etc.) • Licensing Information <ul style="list-style-type: none"> ○ Status ○ Issue Date ○ Expiration Date ○ License # • Employment Tracking <ul style="list-style-type: none"> ○ Business <ul style="list-style-type: none"> ▪ Name and Address ▪ Start and End Dates ▪ Position • Licensing Prerequisites <ul style="list-style-type: none"> ○ License Based Requirements (e.g. in order to have instructor of cosmetology license, would need instructor license on top of having a cosmos license; PAs would also need to maintain PA license if they wanted CSRs) ○ Supervisory License Types (e.g. practitioners will have supervisors assigned to their license) • Bonds & Insurance Tracking

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	<ul style="list-style-type: none"> ○ Certain license types like investigators need tracking to bonds ○ Tracking against insurance for Home Inspectors, Massage Therapists, etc. • Personnel Tracking for business <ul style="list-style-type: none"> ○ PII ○ Start and End Date ○ Position • Compliance & Inspections <ul style="list-style-type: none"> ○ Inspection Dates ○ Inspection Results ○ Inspection Personnel (compliance officer) ○ Violations • Customizable fields via User Defined Fields that can be joined in the backend <ul style="list-style-type: none"> ○ Flexibility of renaming/repurposing fields for organizational purposes
Processes & Workflows	<ul style="list-style-type: none"> • License Applications • Renewals • Reinstatements • Transfers <ul style="list-style-type: none"> ○ Change of ownership ○ Change of locations • Document Uploads • Continuing Education Audit
Document Management	<ul style="list-style-type: none"> • Customizable File Attributes/Metadata for categorization • Single and bulk export/download of docs • Single and bulk import/upload of docs <ul style="list-style-type: none"> ○ System moves files based on filename convention
Case Management (MLO Enforcement)	<ul style="list-style-type: none"> • Case Id • Status • Statutes & Sanctions • Complaint Type • Current Activity Status Dropdown • Charges • OAG related info <ul style="list-style-type: none"> ○ Respondents ○ Attorneys ○ Litigation Numbers ○ Consumer File Numbers

II. Other components connected/related to MLO/1:

Subcomponent	Function
e-GOV	Public facing Interface for new applications, renewals, and document management which provides walkthroughs. Reads/write to MLO; Connections via API
e-Mobile	Inspectors interface provides custom inspection templates that can reference violated statutes. The inspection results are in a relational database that is read by MLO. Additionally, the tool reads MLO for license numbers and other info. Read/writes to MLO; Connections via API
e-Verification	Public facing Licensee Lookup site that does not include sensitive Personally Identifiable Information (PII) data Only reads MLO; Connections via API
Litigation Portal	Internal Litigation tracking and documentation of all complaints and violations. Standalone
General	System scanning in the state's enterprise data cataloging tool is required, contingent on onboarding and implementation.

1.3 MODERNIZATION EXPECTATIONS

The modernized solution should be fully capable of supporting ALL functions the legacy system has provided thus far. Also, it should support connections to other existing legacy interfaces such as e-Gov, e-Mobile, e-Verification. Below are enhanced features expected of the new system:

Accounting

- Ability to ad-hoc financial data

Document Management

- Ability to upload, filter, search, download, bulk upload/download, and apply metadata to files
- Ability to set security measures for files uploaded to system

UI/UX

- Low/no code user interface from admin perspective
- Personal portal / dashboard based on user accounts. User/group-based notifications
- Notifications

Data Management

- Ability to connect to data mart, import/export query, scheduled reports, ad-hoc, report publishing for public visibility or internal use

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Security Roles

- Low/no code security role setup
- Allow for internal user and external (third party, delegated users) user access

Functionality

- Having customizable workflows/business rules
- User work assignments with work assignment ids
- GIS mapping for CSR and pharmacy locations

Litigation

- E-filing system for new cases/documents
- Case intake (file stamping, case # assignment, document association, public access) in system
- Tracking of contact information for parties/attorneys
- Public facing search function (CCS, visible documents, filtering by case type)
- Probation tracking function- alert for missed reports
- Integrate with notices, orders, agendas, meeting documentation
- Ability to control access to documents during hearing
- Templates for orders
- In-system calendaring
- Filtering of case inventory (facilitating prioritization of case types)
- API connector to AG systems

System Implementation and Support

- Technical knowledge transfer
- Support references and documentation
- Initial user training
- Upper and lower environments such as Development, Test, and Production
- Secondary environment for Disaster Recovery

It is the intent of IDOA to solicit responses to this Request for Information in accordance with the specifications contained in this document and associated attachments. Neither this RFI nor any response (proposal) submitted hereto is to be construed as a legal offer.

[THE STATE MAY ELECT TO LIMIT PARTICIPATION IN ANY FUTURE COMPETITIVE SOLICITATION TO VENDORS THAT RESPOND TO THIS RFI.](#)

2. BACKGROUND AND OBJECTIVE OF THE RFI

The goal of this RFI is to gather general functionality and general pricing structures from vendors for the development of a potential Request for Proposal (RFP). PLA is requesting information to formalize the scope of work for a potential RFP by allowing the vendor community to apprise the PLA on information that should be considered as part of the scope of work.

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2.1 VENDOR QUALIFICATIONS

Qualified vendors must have the ability to deliver a dynamic system that has the functionality needed by the Indiana Professional Licensing Agency. Experience with implementing similar systems for other State Government licensing arms is preferred. Necessary capabilities are outlined in Section 4.0 of this RFI.

Qualified vendors can be individual companies or consortiums

3. INDIANA PROFESSIONAL LICENSING AGENCY OVERVIEW

3.1 MISSION STATEMENT

1. **Vision:** Next Level Licensing – We work to keep you working!
2. **Mission:** At the Indiana Professional Licensing Agency (PLA), we are committed to providing licensure to professionals in the most effective and efficient manner by delivering a high level of customer service to every Hoosier licensee.

4. CURRENT BUSINESS FUNCTIONS AND TECHNOLOGY FOOTPRINT

4.1 BUSINESS FUNCTIONS

Functions / Business Areas In-Scope	
PLA Information Technology	System Administrators of MyLicense Suite
PLA Boards & Commissions	Licensing Analyst administers licensing within MLO
PLA Office of Litigation Management	MLO enforcement and litigation portal
PLA Compliance	Compliance Officers / Inspectors monitors and manages licensed facilities with eMobile
PLA Call Center/Support	Customer Service Representatives has read access to MLO
PLA Finance	CFO/Operations handles monetary transactions
Partner Agencies	ATC, IDEM, SOS, IDOH, DNR, DHS, BOAH – Their Licensing Analysts also maintain licensing within ML
End Users	The public interfaces with ML1, eGOV, eVerification as customers

4.2 TECHNOLOGY FUNCTIONS AND INFRASTRUCTURE

Significant consideration will be given to solutions that provides a robust and mature Representational State Transfer (REST) APIs. The proposed solution should be able to integrate/interface using standard

interfaces/methods to other agency/stakeholder systems (on-prem/cloud). The State strongly prefers to leverage the MuleSoft API Management and GoAnywhere Managed File Transfer (MFT) platforms; however, if the solution does not support these technologies, the State is willing to consider alternatives. Indiana Office of Technology (IOT) Data Exchange and IOT Security recommends that data transfer efforts should focus on utilizing MuleSoft / GoAnywhere (option dependent upon complexity of data and/or file transfer) to facilitate secure data transmission.

5. FUTURE REQUIREMENTS

5.1 PROCESS DRIVEN FUNCTIONAL REQUIREMENTS

As a regulatory authority, PLA must adapt to ongoing needs and emerging topics of concern. Therefore, any licensing system needs to be adaptable to meet both anticipated and unanticipated needs. Examples of such needs include but are not limited to:

- Storage and management of transactional documents
- Transaction Lifecycle / Progress Bar
- Modifications or additions to data needs provide reporting through dashboard tools such as Tableau or Power BI
- Abilities to share data via public facing platforms and API integrations

The system must provide capabilities for existing and future needs involving complex calculations or provide an appropriate approach for integrating these functions through secondary tools or systems.

The development of functional requirements remains in progress as of the release of this RFI. The information provided in this section is subject to ongoing development and refinement. Please refer to “IPLA - Licensing System Modernization - Requirement Specifications” § 3 pg. 6 for a more detailed list of functional requirements.

5.2 TECHNICAL STANDARDS AND REQUIREMENTS

PLA prefers cloud-ready and low-code applications with the ability to query backend data. Vendor will manage all deployments to upper environments and PLA requires any vendor to have documented and deployment ready artifacts. However, any implementation will have to conform and comply with all PLA and IOT Security Standards. Additional information can be found on the IOT web site at <https://www.in.gov/iot/iot-vendor-engagement>. The development of technical requirements remains in progress as of the release of this RFI. The information provided in this section is subject to ongoing development and refinement.

High level technical requirements are outlined in “IPLA - Licensing System Modernization - Requirement Specifications” § 4 pg. 12 and include General Architecture, system security, on-premise implementation, system integrity, and cloud enablement.

5.3 SERVICE LEVEL REQUIREMENTS

Service levels for solution and infrastructure services are extremely important. PLA expects strong, clear industry-leading service levels in order to maintain or transition to much higher levels of service than are currently being achieved. Service levels will be a key evaluation criterion during the RFP process. We will be seeking to understand any trade-off of cost versus performance clearly. The development of service level

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requirements remains in progress as of the release of this RFI. Service Levels should be described by the vendor in the response to this RFI

6. SUBMISSION REQUIREMENTS

6.1 RESPONSE FORMAT AND ATTACHMENTS

Respondents should submit responses to the RFI, utilizing **Attachment A**, describing how they will meet the specific requirements of this RFI and the deliverables included within. All narrative responses must be provided to the State in Microsoft Word format. . **THE TOTAL RESPONSE SHOULD NOT BE MORE THAN 15-20 PAGES IN LENGTH.**

6.2 RFI TIMELINE

The following timeline is only an illustration of this RFI process. The dates associated with each step are not to be considered binding.

Anticipated RFI Dates:

Activity	Date
Issuance of RFI	June 17, 2024
Deadline to Submit Written Questions	July 8, 2024 (3:00PM Eastern Time)
Response to Written Questions/RFI Amendments	July 22, 2024
Due Date for Submissions	August 26, 2024 (3:00PM Eastern Time)

6.3 QUESTION / INQUIRY PROCESS

All questions/inquiries in regards to RFI 25-80449 must be submitted in writing via email using **Attachment B**, Questions and Answers Template, by the deadline of **July 8, 2024 by 3:00PM ET** to rfp@idoa.IN.gov. The email subject line should contain the following phrase:

“REQUEST FOR INFORMATION 25-80449, QUESTION AND INQUIRIES.”

Following the question/inquiry due date, IDOA will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website as soon as possible. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Please note that Syed Mohammad is the State’s single point of contact for this RFI. **Inquiries are not to be directed to any other staff member of the PLA.** Such action may disqualify respondent from further consideration in this RFI and any subsequent RFP process.

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If it becomes necessary to revise any part of this RFI, or if additional information is necessary for a clearer interpretation of provisions of this RFI prior to the due date for submissions, an addendum will be posted on the IDOA website.

6.4 CLARIFICATIONS AND DISCUSSIONS

The State reserves the right to request clarifications on information submitted to the State. The State also reserves the right to conduct discussions, either oral or written, with the Respondents. These discussions could include requests for additional information, requests for cost information or technical requirements response attachment revision, etc. Additionally, in conducting discussions, the State may use information derived from the responses submitted by competing Respondents only if the identity of the Respondent providing the information is not disclosed to others. The State will provide equivalent information to all Respondents which have been chosen for discussions.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

6.5 CONFIDENTIALITY

It is important to note that all information submitted in Respondent's proposals to this RFI will be kept confidential and will not be made available to the public unless this RFI does not result in the release of a solicitation at a later date. If a solicitation results from this RFI, then the information contained in the proposal submissions for this RFI must be made available to the public once the resulting solicitation has been awarded and the protest period has ended.

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 et seq., and, after award, the entire solicitation file may be viewed and copied by any member of the public, including news agencies and competitors.

Please note citing "Confidential" on an entire section is not sufficient. The Public Access Counselor (PAC) provides guidance on APRA. Respondents are encouraged to read guidance from the PAC on this topic as this is the guidance IDOA follows:

- [18-INF-06; Redaction of Public Procurement Documents Informal Inquiry](#)

Respondents claiming a statutory exception to the APRA must indicate so on a separate attachment labeled **"Confidential Documentation Listing"**. That document should include the following information:

- List all documents where claiming a statutory exemption to the APRA;
- Specify which statutory exception of APRA that applies for each document;
- Provide a description explaining the manner in which the statutory exception to the APRA applies for each document.

When claiming confidential information, respondents should submit two versions of their response:

- 1) A confidential version (for the State's review and evaluation)
 - a. Confidential Information must be clearly marked in a separate folder.
- 2) A redacted version (for public records requests)

If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. The State also reserves the right to seek the opinion of the PAC for guidance if the State has doubts the cited exception is applicable.

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Prices are **NOT** confidential information.

6.6 RESPONSE SUBMISSION INSTRUCTIONS

Firms interested in providing information to IDOA should submit responses via email to SYED MOHAMMAD (smohammad@idoa.IN.gov.) All responses must be received no later than August 26, 2024 by 3:00PM ET. The subject line of the email submission must clearly state the following:

“RESPONSE TO REQUEST FOR INFORMATION 25-80499”

Any information received after the due date and time may not be considered.

No more than one proposal per Respondent may be submitted.

Templates outlined in this document should be returned in their native file format.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

7. DESCRIPTION OF ATTACHMENTS

- 25-80449 Attachment A - LSM Response
- 25-80449 Attachment B – Q and A Template
- 25-80449 - PLA – LSM - Requirements Specification