



SCRAP Project
(Shelby County Revenue Automation Project)

Request for Information

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1. Introduction

1.1. Overview

Shelby County, Alabama is embarking on an initiative to replace most applications supporting its Revenue (Business Revenue Office – Commission Accounting), Licensing operations (County License Offices) and the Utility & Landfill services (Water & Environmental Services). The primary objective of the project is to provide Shelby County with a fully integrated enterprise resource planning type system that will allow Shelby County to deliver outstanding service to our customers through innovative business workflows. The work flows are generated through onsite teller traffic, mail orders/account services and internet renewals.

This Request for Information (“*RFI*”) is the first step in a complex initiative to increase efficiencies and improve the work flow within the county departments operating the existing revenue and licensing systems. The focus will be on flexibility of issuing instruments and provide extensive tracking and audit reporting to meet the current and future demands of Shelby County. This initiative will provide the framework to streamline business processes and implement a system with a common architecture, which will ultimately allow Shelby County to respond to new requirements in a timely and effective manner. Accordingly, Shelby County is soliciting information for application software, focusing initially on the licensing component. Shelby County desires to purchase/license the software and maintenance services for such software directly from a software manufacturer.

1.2. Background

Shelby County is the fastest growing county in the State of Alabama, encompassing approximately 808 square miles in Central Alabama. Shelby County presently has an estimated 171,465 residents and projections are that by 2015 there will be 216,308 people living in Shelby County. Shelby County currently employs almost 600 employees with approximately 65 (10%) assigned to revenue and licensing operations.

The Shelby County Revenue Automation Project (SCRAP) was formulated to deliver a consolidated information technology solution for the County’s revenue based business units. Presently, the County utilizes ten (10) unique system applications to processes the County’s revenue transactions across the enterprise. A few of these revenue applications are written in an early generation programming language (COBOL) that limits the business workflow functionality. The SCRAP project fits into the County’s technology strategy of migrating business applications from disparate legacy systems to a defined architecture that enables web based delivery to connect information, people, systems, and devices through software.

1.3. General Goals and Objectives

The SCRAP project is designed to improve the overall effectiveness of the County’s revenue business units and position the County for future growth. The primary reason for this project and making the change is that the current systems configuration and architecture do not support the business requirements. This project will enable re-engineering of the business units and provide for flexibility, additional monitoring tools and enhanced performance.

Many of the County’s revenue and licensing systems are in an inflexible architecture. These legacy systems are increasingly prone to errors, where changes can lead to unpredictable effects, and modifications are becoming problematic and excessively laborious. In turn, data silos have developed making it difficult to consolidate required data, and resulting in file and

database redundancies which threaten data integrity. Thus, Shelby County has developed the following objectives:

Integrate people, processes, and technology to provide a balanced service level.

- Reduce the complexity of the overall revenue application portfolio
- Create a collaborative environment where access to data and information, even from remote locations, is based on system “look and feel”, flexibility, intuition, data definition, data stewardship, enhanced reporting & monitoring and increasing security.

Leverage resources, institutional knowledge, developing skill sets, and technology in an effort to continuously improve service and productivity throughout Shelby County.

- Increase the ability to be more responsive to business demands
- Establish property parcel ID as master index across the enterprise
- Eliminate the need to support legacy applications, and promote the creation of a faster, more accurate, and more proactive technological environment.

Mitigate risk to Shelby County by focusing on compliance requirements and understanding the impact these requirements have on productivity and customer service.

- Develop an integrated structure that will promote the consistent enforcement of policies, procedures, local, state and Federal laws and regulations throughout Shelby County.
- Design an environment that eliminates redundant technological solutions and encourages solutions that maximize the goals and objectives of Shelby County. This may be accomplished through the use of creative design, timely issue resolution, thoughtful decision making, and consistent project management.

1.4. Partnering Principles

Shelby County believes the general partnering principles below are essential to successful technology relationships. These principles are incorporated into all contractual relationships regarding strategic applications.

PARTNERING PRINCIPLE #1 COMMITMENT TO STATE-OF-THE-ART PRODUCTS

Shelby County will be making a significant intellectual capital and resource investment in Vendor's products. Vendor historically has made and, within reasonable fiscal constraints expects to continue to make, investments in the ongoing development of its products, including the Software.

PARTNERING PRINCIPLE #2 PREDICTABILITY OF ON-GOING COSTS AND EXPENSES

Costs and expenses must be clearly articulated and understood by the Parties prior to executing contractual agreements or change orders.

PARTNERING PRINCIPLE #3 DECISION-MAKING AUTHORITY

Each Party will commit knowledgeable and empowered managers and other key decision-makers to cultivate and support the relationship created through the Agreement.

PARTNERING PRINCIPLE #4 TIME-TO-MARKET SOLUTIONS AND REGULATORY UPDATES

In a long-term technology relationship, time-to-market for products is critical to Shelby County. Vendor will work with Shelby County to facilitate timely deployment of Vendor's products.

PARTNERING PRINCIPLE #5 REALIZING EXPECTED AND FUTURE BENEFITS

Vendor will work with Shelby County to identify and set forth in contractual agreements quantifiable, measurable benefits associated with deploying and using Vendor's products.

PARTNERING PRINCIPLE #6 PROTECTION OF INVESTMENT

Vendor will work with Shelby County to ensure investments in Vendor's products are protected economically against shifts in platforms and product migrations.

PARTNERING PRINCIPLE #7 MANAGEMENT PARTICIPATION

Vendor will make appropriate opportunities available to Shelby County to become involved in Vendor's technology strategic planning process. On-going representation and/or observation on appropriate customer councils and committees related to Vendor products also will be made available to Shelby County.

PARTNERING PRINCIPLE #8 QUALITY RESOURCES TO SUPPORT THE RELATIONSHIP

Vendor will commit quality and support resources and systems to support their relationship. You manage what you measure.

PARTNERING PRINCIPLE #9 GROWTH OPPORTUNITIES

Vendor must be flexible in addressing Shelby County's future growth.

PARTNERING PRINCIPLE #10 COMMITMENT TO OPEN ARCHITECTURE ENVIRONMENT

Vendor has adopted and intends to continue to promote open architecture solutions. Vendor will make available to Shelby County all application programming interfaces and other Interfaces and related documentation to promote interoperability among Vendor's system and Shelby County's other systems to the same extent that like items are made available by Vendor to its other customers.

PARTNERING PRINCIPLE #11 ALIGNMENT OF ACCOUNTABILITY/RESPONSIBILITY

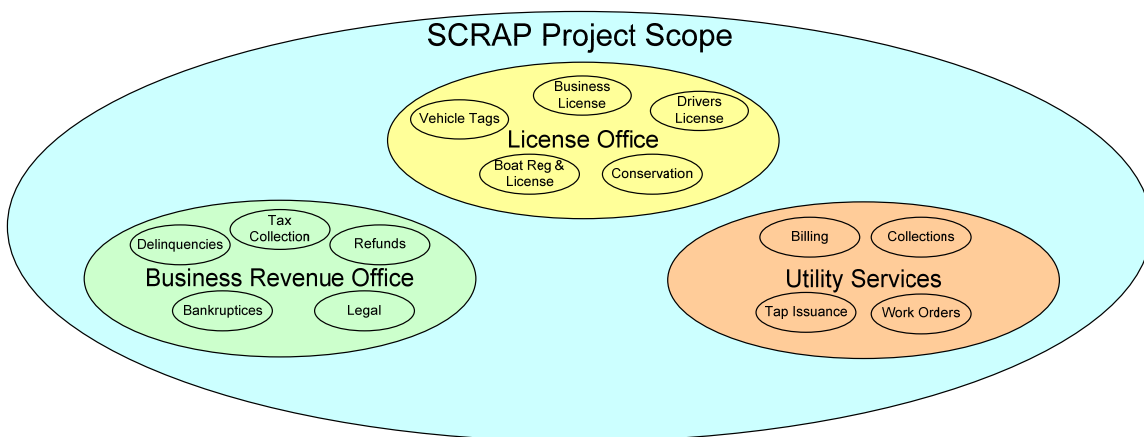
Accountability and responsibility will be aligned to facilitate decision making, accountability and a results-focused orientation.

2. Project Scope

2.1. Approach

The project scope encompasses the information systems and associated workflows with the following business lines:

1. License Office
2. Business Revenue Office
3. Utility & Landfill Services



License Office

1. Tags
2. Boats
3. Business License

4. Titles – State Interfaced
5. Conservation (hunting, fishing, trapping licenses) – State Interfaced
6. Drivers License – State Interfaced

All of the License systems feed into the State of Alabama system. This includes the State Comptroller, Highway department, and State Revenue Office.

Business Revenue Office

1. Tax Collection
2. Delinquencies
3. Bankruptcies
4. Refunds
5. Legal Cases

Utility & Landfill Services

1. Billing
2. Collections
3. Work Orders
4. Issuance of taps
5. Landfill scale operations

2.2. Technology Scope

The hardware and technical infrastructure requirements to support enterprise systems include hardware, software, technical and networking infrastructure, and desktop requirements.

Proposed solutions will be evaluated for their support and use of the following technology components:

- Intranet Usage
- Document Imaging
- User Access/Security Infrastructure
- Integration and Interface Architecture
- Reporting and Data Warehousing
- User Interfaces
- Data Conversions
- Web, application, and database server architecture
- Software Development Tools
- Performance Monitoring Tools
- Technology Standards
- Hardware Architecture

2.3. Current Technical Environment

There are a wide variety of information technology systems, architectures, and infrastructures currently in use at Shelby County. This is the result of several influences including the available technology at the time the applications were developed, the varied needs resulting from Shelby County's broad mission and focus. The systems range from monolithic mainframe systems to advanced .Net applications. This section briefly describes those existing architectures.

Application Architecture

Today, there are a several standalone systems that perform Shelby County's revenue and licensing functions. Although there are a few "package" or "commercial

off the shelf” implementations, most of the computer systems supporting the Licensing functions are applications developed by Shelby County. Due to their age, most are monolithic, technologically out-of-date, have limited functionality, and are not well integrated. These are typically COBOL applications. Newer applications are for the most part SQL, Oracle and .Net applications.

Data Architecture

As a direct result of Shelby County’s diverse application portfolio, data is stored on multiple platforms using multiple formats, and application-specific designs and conventions. Most data structures were implemented around the application architecture resulting in a data architecture that has emerged rather than evolved. Rather than utilizing one or two data base products, IDMS, Oracle, SQL Server, FoxPro, Access and PSQL are all represented in the enterprise.

2.4. Key Architectural Principles

Although the existing technological environment may continue to exist for some time, Shelby County will be building the bulk of its future technical architecture on the .Net foundation supported by a commercial vendor with a proven history of successful implementations at governmental entities. As a result it is essential that any solution set adhere to the following key architectural principles:

Reusability

The architecture should support the mixing and matching of generic and specific elements without undermining the overall design, accelerate the spread of reusable and extendible code, and provide object-oriented software, design tools and execution environments.

Manageability

The architecture should include facilities and support for control, tracking, and monitoring. For example, the tool set should include the ability to capture runtime events and to observe a single unit of work or thread.

Openness

The architecture should support software, platforms, and networks with open standards for process, user interface, data, and information exchange. Examples include Web Services or UBL, WSDL, UDDI, XSD, as well as open languages such as Java, and common dynamic scripting languages (e.g. Ruby/Perl). Further, preference will be given to solutions that support multiple standards, such as Microsoft’s .Net Web services.

Scalability and Portability

In addition to the capacity for future growth, the architecture should provide for rapid capacity adjustment, seamless device connection or disconnection, and operation without impeding other platforms, applications, or databases. Further, the architecture should not be locked into a single platform and should be able to run on various platforms with little or no effort.

Flexibility and Adaptability

Support for device-independent interactions, user-specific customization, smart profiles and device detection, configuration, and operation are expected. The architecture should have the ability to support multiple data base architectures such as Oracle or Microsoft SQL Server in addition to multiple browsers such as Microsoft Internet Explorer,

Netscape, and Mozilla. The architecture should have the ability to feed accounting systems that are fund (License, BRO) or proprietary (Utility) based.

Compartmentalized Components

Separation of data structures, application logic and user interfaces, and support for Web services should be anticipated. Other essentials include exposing functionality as services, separating and modularizing the business logic, loosely coupling services, and designing appropriate granularity of services.

Robust Security Implementation

The architecture shall support standard security architectures to ensure integrity, and confidentiality. Information must be protected from tampering, or accidental changes and should be available only to authorized users. Access to applications, information, and resources should be parameter-based and provide authentication, authorization, and non-repudiation.

3. Vendor Qualifications

3.1. General Information

Each vendor shall give a brief background and history of its company, including the following:

- Corporate vision
- Software vision and applicability to County government
- Services and support vision
- Customer base specifically in government

3.2. Financial Data

Each vendor shall provide the following financial data:

- A copy of a credit rating report from any of the major credit rating agencies, Dun & Bradstreet, Moody's, Standard & Poor's, etc.
- Last 3 years of audited Key Financial Reports (Income Statements, Balance Sheet, etc.)

3.3. Market Experience

Each vendor shall provide information that demonstrates its commitment to the government market, including the following:

- List the dollar value and the percentage of total sales in the government market for each of the past three (3) years.
- List all government based entities that have implemented your software within the last three (3) years, the versions used by each, and the associated modules they implemented.

3.4. References

Provide three (3) references in the following format:

- Institution name
- Date contract was signed
- Date Implementation was completed
- Background of the project
- Modules Implemented
- Scale (budget and people assigned to project)
- Brief explanation of why this reference is relevant to Shelby County
- Reference Contact Name

- Reference Contact Title and Role in Implementation
- Contact Information, preferably address, telephone and email

3.5. Software Development

Each vendor shall provide information about its software product development efforts including the minimum information:

- Describe the overall architecture of your proposed software approach.
- Describe the hardware development platform and operating system that is used for development of the software.
- Describe the database used for development of the product.
- List the number of employees dedicated to product development
- Specify priority R&D initiatives of relevance to government systems

3.6. Pricing

Each vendor shall provide a detailed pricing proposal for the proposed software solution. The proposal should also include pricing information for support and maintenance services.

3.7. Software Support Services by Vendor

Each vendor shall provide the following minimum information regarding support services:

- Describe your method to collect and manage assistance requests or error reports from customer. Describe any proposed SLA commitments and processes.
- Describe the documentation provided with the product and the frequency and method of documentation updates.
- Describe your customer training program including on-site and off-site classes, class schedules, curriculum, materials and any on-line or computer based training
- Describe the tools you provide to test the software for configuration consistency, accuracy of function and system performance.

4. Instructions, Requirements

This RFI is only available in electronic PDF format. The County will review all responses and supporting documentation to this RFI and, if necessary, gather or solicit additional information that may be required to fulfill the purpose and expected outcomes contained in this document. Responding to this RFI is not mandatory. If a vendor is electing not to respond, please notify us by email of your decision as soon as possible.

4.1. Submission of Responses; Handling of Vendor Inquiries

Vendors must respond to this Request for Information by close of business on March 23, 2007. Responses should be submitted in Microsoft Word format via email to:

Phil Burns
Manager, IT Services - Shelby County
102 Depot Street
Columbiana, Alabama 35051-1118
205.669.3792
pburns@shelbyal.com

We may request respondents to present oral and/or provide demonstrations of the information contained in their response to this RFI.

4.2. Confidential Information

Shelby County is a public institution, and as such, it is subject to the Alabama Public Records Laws. Vendor responses are not public documents until a contract is awarded. After a contract is awarded, if Shelby County receives a public records request pursuant to this statute for the vendors' proposals or other information relating to this RFI, it is required by law to disclose such information unless such information meets the definition of a "trade secret". A "trade secret" is typically defined as "business or technical information, including but not limited to a formula, pattern, program, device, compilation of information, method, technique, or process that: (a) derives independent actual or potential commercial value from not being generally known or readily ascertainable through independent development or reverse engineering by persons who can obtain economic value from its disclosure or use; and (b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy." The vendor disclosing such trade secret must clearly mark such information "Confidential" in order for Shelby County to assert that it is a protected trade secret and not a public record if it receives a public records request.

4.3. Timeframes for Evaluation Process

The timeframes for the evaluation process will be as follows:

- **Distribute RFI on February 2, 2007**
- **Receive Proposals from Vendors by March 23, 2007**
- **Award Project to Vendor by April 20, 2007**

4.4. Incorporation of Vendor Proposal

THE PROPOSAL SUBMITTED BY THE SUCCESSFUL VENDOR, TOGETHER WITH THE REPRESENTATIONS MADE BY THE SUCCESSFUL VENDOR, SHALL BE INCORPORATED INTO A MASTER TECHNOLOGY AGREEMENT BETWEEN SHELBY COUNTY AND THE SUCCESSFUL VENDOR.

In the event of a conflict between the terms of the successful vendor's proposal and this RFI or the terms of another document relating to this RFI, the order of precedence set forth in the Master Technology Agreement shall apply.

5. Business Workflows

To educate vendors on the County's business as it relates to this RFI, we have constructed basic case use workflows of our existing environment. Zip files of these workflows and additional information regarding these operational areas may be downloaded online at <http://www.shelbyal.com/download.htm>.

- **Appendix A** – Licensing System Information 5.6MB
- **Appendix B** – Business Revenue System Information 6.9MB
- **Appendix C** – Utility Services Information 3.1MB

6. Legal Requirements

6.1. Overview

Shelby County wants to memorialize its arrangement with the successful vendor with a contract that fully and accurately captures the various commitments being made by vendor. Shelby County reserves the right to negotiate with more than one vendor as it determines which vendor to purchase the system.

6.2. The Master Technology Agreement

Shelby County plans to use a Master Technology Agreement, or "MTA" to establish the contractual relationship with the successful vendor. The MTA will be structured as a master agreement to afford Shelby County the flexibility to acquire additional products and services in the future without the need to renegotiate the base agreement. Shelby County is mindful that the MTA will need to be tailored to take into consideration technical and functional aspects of a vendor's solution; however, the core approach and basic terms and conditions contained in the contract are not expected to change.

6.3. Use of Legal Counsel

Shelby County will use legal counsel to develop the MTA and may be using legal counsel to assist it in reviewing the vendors' responses. Because a legal review of each vendor's response may be undertaken by Shelby County in determining the likelihood of securing a contract with such vendor, Shelby County strongly recommends that each vendor involve its legal counsel as well.