State of Connecticut

Secretary of the State

Statewide Voter Registration System Requirements

January 7, 2022

INTRODUCTION:

The Office of the Secretary of the State, SOTS of Elections, is soliciting proposals for the development, implementation, data conversion, testing, installation, maintenance, support, and training of a new statewide centralized voter registration system.

LOCATION OF WORK:

Work may be performed, completed, and managed in Hartford and/or other locations within the state as determined by the Project Director.

The state WILL provide meeting space for project planning meetings between the state and the contractor.

By signature on their proposal, the vendor certifies that all services provided under this contract by the contractor and all subcontractors shall be performed in the United States.

REVIEW:

Vendors should carefully review this solicitation for defects and questionable or objectionable material. Comments concerning defects and objectionable material must be made in writing and received by the procurement officer at least ten days before the proposal opening. This will allow issuance of any necessary amendments. It will also help prevent the opening of a defective solicitation and exposure of vendor's proposals upon which award could not be made. Protests based on any omission or error, or on the content of the solicitation, will be disallowed if these faults have not been brought to the attention of the procurement officer, in writing, at least ten days before the time set for opening.

QUESTIONS RECEIVED PRIOR TO OPENING OF PROPOSALS:

All questions must be in writing and directed to the issuing office, addressed to the procurement officer. The interested party must confirm telephone conversations in writing. The receipt of questions must be at least 10 days before the due date of proposals.

Two types of questions generally arise. One may be answered by directing the questioner to a specific section of the RFP. These questions may be answered over the telephone. Other questions may be more complex and may require a written amendment to the RFP. The procurement officer will make that decision.

AMENDMENTS:

If an amendment is issued, it will be provided to all who were issued a copy of the RFP and to those who have registered with the procurement officer as having downloaded the RFP from the State of Connecticut.

ALTERNATE PROPOSALS:

Vendors may only submit one proposal for evaluation. Alternate proposals (proposals that offer something different than what is asked for) will be rejected.

RIGHT OF REJECTION:

Vendors must comply with all of the terms of the RFP and all applicable local, state, and federal laws, codes, and regulations.

The procurement officer may reject any proposal that does not comply with all of the material and substantial terms, conditions, and performance requirements of the RFP.

Vendors may not qualify the proposal nor restrict the rights of the state. If an vendor does so, the procurement officer may determine the proposal to be a non-responsive counteroffer and the proposal may be rejected.

Minor informalities that:

- do not affect responsiveness.
- are merely a matter of form or format;
- do not change the relative standing or otherwise prejudice other offers;
- do not change the meaning or scope of the RFP;
- are trivial, negligible, or immaterial in nature;
- do not reflect a material change in the work; or
- do not constitute a substantial reservation against a requirement or provision;

may be waived by the procurement officer.

The state reserves the right to refrain from making an award if it determines that to be in its best interest.

A proposal from a debarred or suspended vendor shall be rejected.

STATE NOT RESPONSIBLE FOR PREPARATION COSTS:

The state will not pay any cost associated with the preparation, submittal, presentation, or evaluation of any proposal.

DISCLOSURE OF PROPOSAL CONTENTS:

All proposals and other material submitted become the property of the State of Connecticut and may be returned only at the state's option. All proposal information, including detailed price and cost information, will be held in confidence during the evaluation process and prior to the time a Notice of Intent to Award is issued.

Trade secrets and other proprietary data contained in proposals may be held confidential if the vendor requests, in writing, that the procurement officer does so, and if the procurement officer agrees, in writing, to do so. Material considered confidential by the vendor must be clearly identified, and the vendor must include a brief statement that sets out the reasons for confidentiality.

SUBCONTRACTORS:

Subcontractors may be used to perform work under this contract. If a vendor intends to use subcontractors, the vendor must identify in the proposal the names of the subcontractors and the portions of the work the subcontractors will perform.

If a proposal with subcontractors is selected, the vendor must provide the following information concerning each prospective subcontractor within five working days from the date of the state's request:
(a) complete name of the subcontractor;
(b) complete address of the subcontractor;
(c) type of work the subcontractor will be performing;
(d) percentage of work the subcontractor will be providing;
(e) evidence the subcontractor holds a valid Connecticut business license; and
(f) a written statement, signed by each proposed subcontractor that clearly verifies that the subcontractor is committed to render the services required by the contract.

A vendor's failure to provide this information, within the time set, may cause the state to consider their proposal non-responsive and reject it. The substitution of one subcontractor for another may be made only at the discretion and prior written approval of the project director.

JOINT VENTURES:

Joint ventures are acceptable. If submitting a proposal as a joint venture, the vendor must submit a copy of the joint venture agreement which identifies the

principals involved and their rights and responsibilities regarding performance and payment.

VENDOR'S CERTIFICATION:

By signature on the proposal, vendors certify that they comply with the following:
(a) the laws of the State of Connecticut;
(b) the applicable portion of the Federal Civil Rights Act of 1964;
(c) the Equal Employment Opportunity Act and the regulations issued thereunder by the federal government;
(d) the Americans with Disabilities Act of 1990 and the regulations issued thereunder by the federal government;
(e) all terms and conditions set out in this RFP;
(f) a condition that the proposal submitted was independently arrived at, without collusion, under penalty of perjury;
(g) that the offers will remain open and valid for at least 90 days; and
(h) that programs, services, and activities provided to the general public under the resulting contract conform with the Americans with Disabilities Act of 1990, and the regulations issued thereunder by the federal government.

If any vendor fails to comply with [a] through [h] of this paragraph, the state reserves the right to disregard the proposal, terminate the contract, or consider the contractor in default.

CONFLICT OF INTEREST:

Each proposal shall include a statement indicating whether or not the firm or any individuals working on the contract has a possible conflict of interest (e.g., currently employed by the State of Connecticut or formerly employed by the State of Connecticut) and, if so, the nature of that conflict. The Office of the Secretary of the State reserves the right to consider a proposal non-responsive and reject it or cancel the award if any interest disclosed from any source could either give the appearance of a conflict or cause speculation as to the objectivity of the program to be developed by the vendor.

RIGHT TO INSPECT PLACE OF BUSINESS:

At reasonable times, the state may inspect those areas of the contractor's place of business that are related to the performance of a contract. If the state makes such an inspection, the contractor must provide reasonable assistance.

ASSIGNMENT:

The contractor may not transfer or assign any portion of the contract without prior written approval from the procurement officer.

DISPUTES:

Any dispute arising out of this agreement will be resolved under the laws of the State of Connecticut. Any appeal of an administrative order or any original action to enforce any provision of this agreement or to obtain relief from or remedy in connection with this agreement may be brought only in the Superior Court for the State of Connecticut.

SEVERABILITY:

If any provision of the contract or agreement is declared by a court to be illegal or in conflict with any law, the validity of the remaining terms and provisions will not be affected; and the rights and obligations of the parties will be construed and enforced as if the contract did not contain the particular provision held to be invalid.

FEDERAL REQUIREMENTS:

The vendor must include a statement indicating they will comply with the below Federal Requirements:

- National Voter Registration Act (NVRA)
- Help America Vote Act (HAVA)
- Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA)

BACKGROUND INFORMATION:

The Registrars of Voters in the State of Connecticut are responsible for processing and maintaining all voter registration documents and records for the entire state. There are over 2,309,576 “active” voter registration records and approximately 195,500 “inactive” records.

Voter registration records maintained are necessary and critical to determine and report on which voters are eligible to vote, including which election district the voter is eligible to vote. Connecticut General Statutes Title 9 outlines the state legal requirements for voter registration. In addition, the National Voter Registration Act (NVRA), Help America Vote Act (HAVA) and the Uniformed and Overseas Citizen Absentee Voting Act (UOCAVA) outlines the federal requirements for voter registration.

The Office of the Secretary of the State hosts and maintains the database and connections required to allow each of our local election officials (over 1,000) to connect and function within the system. In addition to voter registration, the Secretary of the State is responsible for administering statewide primary and general elections, municipal elections and numerous special elections. As part of the election management functions, the SOTS maintains records and information for precincts, election districts, polling places, election workers, contests, candidates, absentee/early ballots and questioned ballots. The SOTS is also

responsible for the management and processing of ballot access petitions and signature verification.

Each of Connecticut's 169 municipalities is responsible for the administration of elections locally. Voter registration, absentee ballots, ballot access petitions and election day administration are all conducted locally.

There are five congressional districts, 36 senate districts and 151 house districts within the State of Connecticut. Connecticut currently has approximately 800 voting districts. Elections are conducted at the voting district level. Each voting district has a designated polling place. Currently, for each election, there is a paper register containing the names of the eligible voters for that polling location. Voters announce their name and are crossed off the registry before obtaining a ballot. The paper registry is returned to the registrar of voters to manually enter voter history for each election.

The State currently utilizes a state-owned, centralized, statewide voter registration and system that has been in place since 1990. This is a database management system maintained on the State of Connecticut's mainframe. Each municipal office has "real-time" access to all information and records maintained in the Statewide Voter Registration.

Information on voter registration and other records is manually entered into the system by local election officials at the various municipal office locations. The state manually processes over 900,000 voter registration documents a year.

Currently, the Voter Registration System interacts with the State of Connecticut's On-Line Voter Registration System, Department of Motor Vehicles and the On-line lookup for voter registration status and absentee ballot status.

The voter registration lookup enables voters to retrieve their individual voter registration record to see address, political party, district/precinct, and polling place information on their voter record. The absentee ballot status lookup enables voters to check the status of their absentee ballot application and ballot. Both systems require the user to enter either their name or date of birth.

A more robust interaction between the Department of Corrections and Department of Public Heath will be a priority.

EXISTING NETWORK INFRASTRUCTURE AND CHALLENGES

Connectivity and latency within the State of Connecticut are a challenge due to the uniqueness of each municipal IT network and support. Vendors should be aware of these factors when preparing a proposal. The State is routinely upgrading bandwidth as solutions become cost effective. Vendors should assume the

network will not improve dramatically before this solution must be installed. Vendors should provide minimum requirements in their proposal.

SCOPE OF WORK

The Secretary of the State is soliciting proposals for the development, implementation, data conversion, testing, installation and training of a new centralized, integrated statewide voter registration and election management database system that is in full compliance with applicable federal and state laws, the business requirements of the SOTS as outlined in the Statewide Voter Registration and Election Management Requirements, Attachment 1, and that will replace the existing, mainframe-based system currently used in the State of Connecticut.

The new system must utilize server software that includes a recent release of a currently accepted, industry standard, enterprise-grade operating system.

The contractor will have principal responsibility for the project management planning and implementation through go-live of the new system and must assign a Project Manager. The Secretary of the State will assign key staff to work in partnership with the contractor throughout the life of the project.

In general, the Secretary of the State is seeking proposals for a new statewide Voter Registration System, which will include On-Line Voter Registration and an On-Line Absentee Ballot process that is built on new technology, that provides "real-time" access to municipal and state offices and that will enable the state to securely, effectively, and efficiently manage and maintain voter registration records:

- interface with other state agency applications, such as, but not limited to, DMV and Department of Public Health, Department of Corrections, and Department of Social Services, for processing of voter registration documents and for electronic signature capture so that the amount of "paper" registration documents can be reduced. This is currently a manual process which SOTS wants to be automated.
- implement user-facing online voter registration through an application that interfaces with the application for processing voter registration applications submitted online.
- manage the storage and retrieval of voter signatures as well as registration documents completed by the voter; and
- interface with the state's web-based absentee ballot delivery and on-line voting application. The online absentee voting application is used by the voter to track the status of their absentee ballot.

DELIVERABLES:

The contractor must provide a new statewide voter registration and election management database system that meets the requirements outlined in Attachment 1, including the following:

a) Deliverables: The contractor shall accomplish the work and present the deliverables described in this section. Each deliverable must be formally accepted by the SOTS before sign-off. The contractor is responsible for scheduling acceptance "walk through" sessions to present each deliverable to SOTS's Project Manager. The SOTS will sign-off on the deliverable, or provide a report documenting why the deliverable is not acceptable within 10 business days (close of business), unless otherwise specified, of the formal walk through. The SOTS's review time will begin upon receipt of the contractor's deliverables. Review dates and times for subsequent project deliverables shall be set when the project plan is approved. In order to expedite the final review of each deliverable, the contractor shall provide interim draft deliverables for preliminary review, as agreed upon with SOTS.

b) Project Schedule: Within 30 business days of executing the contract, the contractor will be responsible for developing a detailed project schedule, broken into phases, that outlines and identifies all activities, tasks, milestones, and deliverables for each phase of the project. The schedule must be maintained in a version of Microsoft Project (as coordinated with SOTS) and include all activities, tasks, resources, schedules for conducting analysis, design development, testing and implementation of the statewide voter registration system. The schedule must include separate tasks for each activity and milestone; logical sequence and interdependencies, including those with SOTS and contractor tasks; resource requirements and assignments; target completion dates for each task and deliverable; and identification of and compliance with deadlines and milestones. The schedule must reflect a system "go-live" in all SOTS offices at the same time.

c) Project Planning Requirements: The contractor is responsible for developing, and submitting for SOTS approval, a set of comprehensive project planning documents that together, will constitute the overall master Project Plan. The individual project plan documents must be submitted and approved in conjunction with the applicable project phase and prior to the associated activity commencing. The project schedule must reflect the dates the plans will be submitted and provide for a 30-day approval period, unless otherwise specified, by SOTS. The Project Plan will include, but is not limited to, the following planning documents, requirements, and activities:

➢ Resource Management Plan - The contractor must provide experienced, qualified professionals to ensure the success of the project. The resource management plan must include an organizational chart for its proposed team members defining all key functional, technical and management roles of, and

reporting relationships among, team members. The contractor shall include a narrative to accompany the organizational chart describing positions, titles, organizational relationships, unit functions, individual duties and other related information. Upon approval of the plan, changes to personnel or the level of commitment to the project shall be approved by the Secretary of the State. The SOTS's intent with this requirement is not to unduly hinder the contractor's ability to allocate and manage its human resources, but to ensure that personnel represented in the contractor's proposal are applied to the project. The contractor is expected to provide ongoing project management, technical advice, and consultation with the SOTS on decision-making and planning efforts. The contractor's Project Manager must be available, in-person or by telephone during Eastern Standard Time (EST) business hours. The contractor must be prepared to respond to SOTS inquiries within one business day, unless an otherwise response time is agreed upon.

- System Configuration Management Plan - The contractor may choose to develop and install a configuration sufficient to accomplish the project requirements and must test the total system on the final configuration. The contractor must create a configuration management plan that describes and identifies the baseline configuration of the overall system, including the various system components (hardware and software), how each component is configured and how the components are connected or arranged to implement the overall system.
- Change Control Plan - Change control is an on-going effort that affects all phases of the project. The contractor is responsible for tracking changes, regardless of whether they are initiated by the SOTS or the contractor. All change requests shall be documented and retained, including those that are not approved by the SOTS. The change shall be initiated by a request that provides details of the change. The change request shall include time and dollar estimates prepared by the contractor. The SOTS must evaluate all change requests for approval or disapproval. The contractor shall be responsible for timely upgrades of the existing documentation, so that documentation reflects all approved changes. All changes to the system must be reflected in the documentation. As modifications are made that affect the original documentation (requirements, process decomposition, business rules, data flow, manuals, etc.), the contractor is responsible for timely upgrades to that documentation to reflect those changes that have been approved and delivered. The contractor must create a change control plan and design a change request form that includes:

- Description of Change
- Control numbering
- Who is requesting change – Contractor, Subcontractor, SOTS
- Priority
- Date submitted / completed
- Proposed cost of the change
- Estimated impact on the project schedule
- Impact on application if change is made

- Impact on application if change is not made
- Approval line for contractor's Project Manager
- Approval line for SOTS's Project Manager

- Migration/Conversion Plan – The contractor is responsible for all aspects of data migration and conversion from the existing system to the new system. The SOTS will be available to provide assistance in data interpretation and participate in testing and evaluation of the results. Based upon the approved recommendation for the phasing of the application, the contractor must develop data-mapping, conversion and migration plan for what files and data are converted and when the conversion will occur. This plan shall include information regarding the synchronizing of data to ensure there is no lost data as the system is phased in. As part of the plan, the contractor must develop a data map that describes each field and/or table in the existing system and how it will be treated by the conversion program The contractor must provide programs for converting the existing data to the new system. These conversion programs must be unit and system tested prior to turning over to the user testers for acceptance testing. The contractor is responsible for identifying data anomalies that require "data cleansing" activities and will assist with the needed "data-cleansing" These "cleansing" activities will ensure that all data is ready for conversion and processing.
- Transition/Implementation Plan - The contractor is responsible for all implementation activities and shall develop a plan that includes the transition from the existing system to the new application system. This plan will provide the details for transitioning all SOTS offices into a production environment. It shall include information regarding how the transition occurs. Working with the SOTS, the contractor must develop an implementation strategy that allows for a statewide implementation that best suits the environment and timeframe of the SOTS.
- System Security Plan – The contractor shall develop and document a security plan. The state's Chief Computer Security Officer and/or Agency Information Technology Manager must approve the security plan before final designs are accepted.
- System Installation / Availability Plan – The contractor is responsible for all aspects of the system installation, setup, load software, testing and validation of the operation of the hardware and software environment that will ultimately support the entire application and ensure it is fully integrated with the state network's security, WAN and LAN infrastructures. The contractor must develop a detailed installation plan that, at a minimum:

- Identifies and describes all hardware and software necessary for installation and needed to support the entire application, including a comprehensive itemization of all hardware components and software licenses.
- Identifies installation tasks that must be coordinate with the state, such as facility readiness and preparation necessary for accommodating the technical solution.
- Identifies a detailed installation schedule that minimizes the time period between hardware procurement/delivery and the actual installation activities. The

schedule must include the installation, setup, and operational validation tasks as part of the overall schedule.

- Provides a description of the strategy for uninterrupted operations of the production system.
- Provides for disaster recovery plan.
- Provides for a restore plan for error recovery on any component or file, including specific restoration instructions.
- Provides a complete backup plan including the estimated recovery times from the point of having hardware available, priority of servers/files/services recovered, and all directions necessary to recover such.
- Provides for a maintenance plan that includes recommended schedules for backups (for both error recovery and disaster recovery) indicating the resources necessary and time required, and any disadvantages of the recommended plan and that also describes provisions for the distribution/installation of system updates.
- System Testing – The contractor is responsible for all preliminary testing of the total system, including application functions, all interface elements, backup and restore capabilities, security, and those measures designed to support availability requirements. The contractor is responsible for tracking and solving of problems reported for all test phases and activities. The contractor must develop a detailed testing plan that, at a minimum, addresses the following:

- Network/Communication testing.
- Performance testing.
- Load testing.
- Full integration testing.
- System acceptance testing.
- Security, backup and disaster recovery testing.
- Unit/module testing.
- User acceptance testing

The SOTS will be responsible for conducting user acceptance testing on the functionality of the application. The contractor must develop comprehensive testing scripts that cover all functional requirements of the application and that include the desired outcome. The contractor shall notify the SOTS upon completion that the system/subsystem is ready for testing, after an all-inclusive and wide-ranging contractor testing has been done. The SOTS may modify the test scripts, if necessary. The contractor must be available to support (run the transactions and any reports required, correct any programming problems discovered by the test) the SOTS's acceptance testing effort. If the test is unsuccessful, it will be documented and reported to the contractor's Project Manager for coding changes. If test results cause changes to be made to the system, appropriate regression testing must be performed to ensure that no inadvertent changes are made.

➢ Training Plan - There are various areas that require on-site training. At a minimum, the contractor will provide for a comprehensive training plan that cover the following:

➢ Application Training – Prior to implementation, the contractor shall train all SOTS and municipal staff. The contractor must ensure that all trainees understand the application and can properly use the application.

➢ Architecture Training – Training must be conducted for at least two state employees regarding the operation, maintenance, remote management, and on-site support.

➢ Software Training – Training must be conducted for at least two state employees regarding the software (excluding the application) used to support and supplement the application.

➢ Database Training – Training must be conducted for at least two state employees regarding the support and maintenance of the database.

➢ Annual Maintenance and Support – Training must be conducted for at least two state employees on the maintenance and support of the application and the application development tools.

Throughout the life of the project, the contractor must update the project plan documents, as needed, to address changing project situations. Any changes must be submitted, in writing, to the SOTS for written approval before any activity regarding proposed changes. For each proposed change, the contractor must assess whether any new hazards or risks are introduced into the project. The contractor must report if tasks need to be repeated as a result of changes to plan documents.

d) Project Management/Monitoring Requirements: The contractor must designate an experienced, full-time Project Manager whose prime responsibility is to monitor, coordinate and report on all activities of the project plan and who will have overall responsibility for the contractor's performance under the contract negotiated through this RFP.

➢ Early Identification of Problems: The contractor shall be responsible for early identification and communication of problems, project issues, and risks associated with execution of the Project. The primary areas of ongoing focus shall include, but not limited to: adherence to schedule (time) and reasonableness of staffing assumptions (people). The contractor is responsible for tracking and managing problems, issues, and risks.

➢ Monitor Risks, Problems and Resolutions: The contractor shall proactively identify risks to the project, make recommendations to prevent and/or reduce risks, identify causes of any missed deadlines, and monitor status of corrective actions/risk intervention strategies.

➢ Monitor Technical Compliance: The contractor shall develop and carry out a methodology to evaluate technical aspects of the project including, but not limited to, IT systems, policies and procedures, conversion, and training. The contractor must also monitor technical changes such as new versions of software, error

detection and corrections, and movement of modules into production. The contractor shall notify SOTS of any issues resulting from this activity.

- Report Status: The contractor shall review project milestones and deliverables and report both positive features of the work completed as well as areas of technical or business risk and shall prepare project status reports that summarize key information related to the status and performance of the project. Additionally, status reporting meetings shall be conducted at intervals agreed upon between the contractor and SOTS. The contractor shall provide a status report, at intervals agreed upon between the contractor and SOTS, that contains, but not limited to, the following information:

- Executive summary on technical, business and schedule aspects.
- Progress, actual vs. planned.
- Accomplishments.
- Schedules.
- Risks, issues, and concerns

The contractor shall provide its own computer hardware and software during this project. Software used by the contractor for communications and deliverables during this project must be Microsoft Office and Microsoft Project, unless otherwise agreed to by the SOTS. Copies of all working documents, deliverables, communications, etc. must be provided to the SOTS in both hardcopy and electronic format.

e) Requirements Tracking: The contractor is responsible for making sure the proposed system meets all requirements outlined in the Statewide Voter Registration System Requirements (Attachment 1) and shall propose and utilize tools to completely document and track compliance with the requirements from identification to implementation. It is very important for the contractor to have a method of ensuring that the system is in compliance with all requirements.

f) Architecture, Hardware and Operating Software: The proposed architecture solution must be integrated within the existing state network infrastructure, be compatible with the most updated and currently supported operating system currently being used by the SOTS and must provide the best performance, scalability, flexibility, security, redundancy and load balancing between available resources. The contractor must procure all hardware and system software (operating system, utilities, etc.) and all other elements required for the project and not mentioned elsewhere in this RFP. The SOTS must provide approval before purchase is made.

Office staff workstations are not within the scope of this RFP. Contractors should submit minimum requirements for state-supplied hardware.

Equipment offered in response to this RFP must be new equipment, meaning that the equipment is currently in production by the manufacturer and is still the latest model, edition or version generally offered. The equipment must be warrantied as new by the manufacturer and may not have been used for any purpose, other than display (not demonstration) prior to its sale to the SOTS.

The SOTS will not accept remanufactured, used, or reconditioned equipment. It is the contractor's responsibility to ensure that each piece of equipment delivered for this project complies with this requirement. Software shall be the current release, or not less than one version behind, at the time of purchase. The SOTS will be listed as the owner of all licenses.

g) Software Licensing: The contractor shall provide all necessary licenses for all software (excluding tools and utilities) provided to the SOTS to constitute an enterprise-wide license for use in SOTS offices and municipal sites designated by the SOTS as a provider of voter registration information. The licenses shall cover unlimited users and shall not require an annual renewal.

h) Application Development Tools: The contractor shall provide the application development tools, aids, scripts, utilities, and related tool sets.

i) Data Ownership: The SOTS will be the sole owner of the data that resides in the system. No technical characteristics of the system supplied by the contractor shall prohibit or unreasonably inhibit access to all data in all tables and files in the system provided to the SOTS pursuant to this RFP.

j) Documentation: For all documentation to be provided to the SOTS under the contract, the contractor shall provide a draft document. With SOTS approval, the contractor shall then prepare the final document, which must include one original and one copy. The SOTS shall have 10 working days to review and approve each draft document.

Documentation must be provided for the users to explain how the application works. This documentation must be written in layman terms and clearly explain how to use the system for daily, weekly, quarterly, annual, and special processing, as well as for maintenance of the application. The document must explain those variables that can be updated by the users. All documentation must be provided in MS Word format.

k) Source Code and Escrow of Source Code: The CT SOTS desires to maintain the CVRS internally after implementation is complete and obtain external support and maintenance via this RFP process; therefore, the successful Bidder must be prepared to turn over the intellectual property and ownership of the product to SOTS including a copy of the source code, object code, and documentation associated with the product to the CT SOTS post-implementation. In addition to

post-implementation ownership, CT SOTS want to take ownership of the platform and own the repository where data resides during development, thereby having full access throughout the project.

The CT SOTS must own all rights to the products and materials, including the source code for the Solution with customization as delivered by the Bidder, excluding commercially available unmodified components such as operating systems, DBMSs, and web servers. The code must be maintained in either Git or Subversion and must include the artifacts, scripts and information needed to build and deploy the application. The CT SOTS must have, at a minimum, read access to the repository and must have the ability to clone the repository.

Provide Respondent to SOS Knowledge Transfer Strategy

One of the goals of the project is to effectively and expeditiously transition technical support for the application from the respondent to the SOS IT development team to perform future modifications.

1. Describe your strategy for knowledge transfer of the source code and technical support for the application from respondent to SOS IT
2. In your strategy, consider these options to expeditiously make the transition:
    a. Embed 1 to 2 SOS IT software developers into your project team
    b. Include incremental transition at the completion of each module

Within 30 days after receiving notice its software has passed the SOTS's user acceptance test, the contractor shall deposit the source code for the software, DLLs, compilers, firmware, and any special utilities prepared by the contractor, including all software documentation, relevant commentary and explanations (Escrowed Material) into an escrow repository. The contractor warrants that the source code deposited, and all subsequent deposits under this Agreement, must include comments and documentation and be complete and capable of compilation by a knowledgeable technician into an operable version. The Escrowed Material shall be maintained in good working order, sequence, and business-like fashion.

Not later than every six months thereafter, the contractor shall deposit, with a mutually agreed upon Escrow Agent, all revisions, corrections, changes, modifications, and enhancements to the Escrowed Material. Within seven days after such deposit with the Escrow Agent, both the contractor and the Escrow Agent shall give written notice of receipt to the SOTS. The Escrow Agent, for a period of not-to-exceed 15 years, will retain all previous versions of Escrowed Materials.

The cost of the Escrow Agent shall be borne by the SOTS.

The contractor's proposal for this escrow procedure shall contain a warranty that the Escrowed Material does not contain any expiry key or other mechanism for establishing a date or time beyond which the software license will be invalid or

beyond which the software will not function properly. Upon written notice of cause to the contractor and the Escrow Agent, the SOTS may conduct tests of the Escrowed Material, under the contractor's supervision, to confirm the conditions and usability of the Escrowed Material.

Any direct costs associated with testing the Escrowed Materials shall be borne by the SOTS.

Default by the contractor shall be deemed to have occurred under this Escrow Agreement upon occurrence of any of the following:

1) If the contractor has availed itself of, or been subjected to by any third party, a proceeding in bankruptcy in which the contractor is the named debtor; an assignment by the contractor for the benefit of its creditors; the appointment of a receiver for the contractor; or any other proceeding involving insolvency or the protection of, or from, creditors and same has not been discharged or terminated without any prejudice to the SOTS rights or interest under this license agreement within thirty (30) days.

2) If the contractor has ceased its on-going business operations, or the sale, licensing, maintenance, or support of the software to the documented requirement of this Agreement.

3) If the contractor offers an upgrade or release of the software that the SOTS documents does not meet Connecticut's election management, operational, or legal requirements.

4) If the contractor breaches or defaults any term or condition of the contract.

l) Information Technology Standards: The contractor must collaborate with BEST (Bureau of Enterprise Technology Services) and the SOTS network services during the network design phase to ensure the proposed system is compatible with the state's network. The SOTS will obtain any required approvals, permissions, or waivers from other State of Connecticut agencies in order to install, operate or maintain the system.

m) On-Site Support: Throughout the life of the project, the contractor will be required to be present in Connecticut at various phases for project planning, process mapping, installation, testing and implementation activities. The SOTS will provide, at no cost to the contractor, meeting space for project planning meetings.

The contractor will be required to be on-site for all related installation activities. As the system is migrated into the production environment, the contractor must provide dedicated staff who were involved in the project to provide on-site support in Hartford, Connecticut throughout the go-live and post, go-live phases until all issues have been resolved and accepted by the SOTS.

In addition, the contractor must provide on-site support for up to 90 calendar days during the first statewide election cycle (primary and general elections) following go-live of the system. It is the intent of this provision that the first statewide election cycle following go-live will provide a proper demonstration and test of the system in order to ensure that all functionality performs within the requirements.

The contractor's on-site staff must have the historical knowledge of the project, skills, expertise, and capability of addressing and resolving any production problem related to the implementation. The contractor shall provide operations and maintenance support to repair any malfunction of the system. At the end of the on-site support period, the term of the Warranty shall commence.

n) Application Warranty: At the end of the on-site support period, the term of the Warranty shall commence. This will cover any problems that are discovered, after final acceptance. If the SOTS reports a suspected warranty problem, it will be evaluated to determine if it is covered by the warranty. The warranty will cover any application problem that does not function as described in the most current copy of the requirements document, including all change requests.

o) Service Level Agreement: The contractor shall enter into a Service Level Agreement (SLA) with the SOTS on an annual basis. This agreement will address various areas of service expectations such as response time, quality, accuracy, and scalability. The SOTS defines response time as the maximum time period that will elapse between the initial SOTS request acknowledgement and commencement of resolution.

The Priority Level of the request as determined by the SOTS governs the response time to a support request to the contractor.

Priority Level	Description
Severe	Critical functionality failure exists with excessive risk to the ability of Connecticut's election officials to use the system. System or application catastrophic failure has occurred or is very likely to occur imminently.
High	Desired functionality is not as indicated in requirement. There is a high risk that the application will not perform critical functions. The issue stops Connecticut's election officials from performing a function. No work-around is available.
Medium	Desired functionality is missing, or the application misses election officials' expectations for delivering the functionality. Temporary work-around is available. Some risk exists. May be inconvenient to Connecticut's election

	officials for a period of time not to exceed two weeks.
Low	Desired functionality is missing, or the application misses election officials' expectations for delivering the functionality. Work-around is available. No risk exists. The matter is a cosmetic problem.

The SLA shall include four levels of onsite and telephone software support at the SOTS central server locations for 24/7 coverage with varying levels of response time depending upon the level of priority established by the SOTS and the election period.

Peak Election Period **(60 days prior to & 60 days after any election)**	
Priority Level	Response Time
Severe	1 hour phone response, 4 hour onsite response
High	2 hour phone response, 8 hour onsite response
Medium	8 hour phone response, 24 hour onsite response
Low	24 hour phone response, 5 day onsite response

Non-Peak Election Period	
Priority Level	Response Time
Severe	2 hour phone response, 4 hour onsite response
High	8 hour phone response, 24 hour onsite response
Medium	24 hour phone response, 5 day onsite response
Low	48 day phone response, 10 day onsite response

The SLA shall contain a description of the escalation procedure that the contractor will follow to handle support calls and assure a timely resolution of support and maintenance requests, satisfactory to the SOTS.

The service level agreement shall provide for:

- Updates to the software in a timely manner for changes required by law in regard to all system functions.
- Periodic system updates for enhancements requested by the SOTS.
- A software enhancement program that includes a regular schedule of software updates.

p) Billing Procedures and Payment Method: The contractor shall provide an invoice no later than the 30th of the month following the month worked for all work that has been accepted and approved by the SOTS. Payment shall be made after the completion of each milestone (defined by the Payment Schedule), the acceptance of the deliverables by the SOTS and receipt of an acceptable invoice from the contractor.

The following individuals (or designees) must accept the deliverables before the payment will be authorized:

- Project Manager
- Director of the SOTS of Elections

q) Performance Penalties and Rewards: All deliverables and performance measures in this RFP will be monitored by SOTS. Notwithstanding any conflicting terms and conditions, any and all performance issues (including untimely performance, failure to provide deliverables, etc.) must be resolved or corrected to the satisfaction of SOTS before payments will be made. The SOTS reserves the right to determine if withholding of payment is warranted.

PROPOSAL FORMAT AND CONTENT

Proposal Format and Content

The State discourages overly lengthy and costly proposals. However, for the State to evaluate proposals fairly and completely, vendors must follow the format set out herein and provide all of the information requested.

1) Proposal Transmittal letter: The transmittal letter must include, at a minimum, the following:

- A brief statement of the vendor's understanding of the work to be done.
- Indication if the vendor intends to use subcontractors or if the proposal is submitted as a joint venture.
- The complete name and address of the vendor's firm, including the name, mailing address, telephone number and email of the person the state should contact regarding the proposal.
- A statement confirming that, by signing the proposal's transmittal letter, the vendor certifies they will comply with those items outlined in this proposal.
- A statement confirming that the vendor's firm meets the minimum Prior Experience.
- A statement and evidence that the vendor meets any professional license(s) or certification requirements required by law.
- A statement confirming that the vendor's firm has no intellectual property conflicts with third parties.
- A statement that the person signing the transmittal letter is authorized to legally bind the vendor.
- The signature of person(s) empowered to legally bind the vendor.

A vendor's failure to include these items in the proposal may cause the proposal to be determined to be non-responsive and the proposal may be rejected.

2) Executive Summary: The summary should provide a high-level overview of the proposal that provides the SOTS with an overall understanding of the vendor's proposal. The summary should be prepared in such a manner as to make it understandable to individuals not familiar with the terminology peculiar to a project of this type.

Technical Solution for the Project

The proposal must present a full and complete description of the technical solution the vendor intends to employ and illustrate how the technical solution will serve to accomplish the work outlined in the Scope of Work Section. The technical solution should be thoroughly described, with the rationale for the vendor's recommendations explained. The proposed technical solution must address the following aspects of the project:

- 1) Architecture: Provide a detailed plan that outlines the vendor's plan to implement the architectural portion of this project. The proposal should include specific information regarding the recommendations for the platform and architecture of the system and must include the following:

a) Descriptions, supported by diagrams, showing the total overall system architecture (hardware and software) being proposed.
b) A detailed description of the role of each component (or set of related components) in the total system architecture and how it contributes to:

- Performance
- Capacity
- Scalability
- Redundancy
- Availability
- Reliability
- Recoverability
- Security
- Network Load Balance and Cluster Support
- Monitoring capability

c) A description and requirements definition for the network configuration of the proposed technical solution, including the identification of any network or other pertinent element that would need to be addressed/upgraded to support the recommended architecture as well as bandwidth requirements to support the SOTS's typical user load.

d) Detailed overview that describes the security strategy the vendor proposes to implement, including information relating to how the system security will be integrated and compatible with the state's current virus protection and intrusion detection methods. This should include, but is not limited to, the contractors actual security testing plan and architecture. A plan to evaluate functionality and security is critical and should include the ability of the system to recover from various form of failures (including adversarial ones).

e) Description of the proposed interface strategy with State agencies, including, but not limited to, the Connecticut Department of Motor Vehicles, Department of Corrections, Department of Social Services and Department of Public Health..

2) Software: Utilizing the information in this RFP, provide a detailed description of the software proposed for all elements of the technical solution.

3) Database: Utilizing the information provided in this RFP, provide the following:

- Database system recommended and any supporting capabilities (utilities, any special backup considerations, etc.).
- Identify reasons for the recommendations.
- Any special considerations in the database arena in order to have a successful implementation of the requirements described in detail.

The SOTS will be the sole owner of the data that resides in the system. Provide affirmation that includes a statement of clear recognition that the SOTS:

- is the sole owner and custodian of all data in the system provided by the vendor; and
- shall have the unrestricted right to access and use all data in the system without interference by or assistance from the vendor.

4) Application Development Tools: Provide information regarding the application development tools that the vendor recommends for this application. If the proposed application development software is not the manufacturer's "state of the art", indicate why that choice was not made. Indicate your understanding of its "position" relative to expected offerings from the software manufacturer over the next two years and recommendations for possible transition of the application software to utilize advances of the new application development offering. List and describe the function of all items proposed for the development tools. Describe any specific hardware requirements needed to support functions and/or productivity of personnel regarding the development tools.

Methodology Used for the Project

Vendors must provide comprehensive narrative statements that set out the methodology they intend to employ and illustrate how the methodology will serve to accomplish the work and meet the state's project schedule. The proposed methodology must address the following aspects:

1) Proposed Project Approach: The proposal must provide an overview of how the vendor will approach the project, methodology, and a description the various phases the vendor will use to frame the project schedule and activities. Include any experience or usage of the approach and phases being proposed in other projects of similar nature. As part of the description of each phase, outline and identify all activities, tasks, milestones and deliverables that will be addressed during each phase of the project.

2) Proposed Project Schedule: The proposal must include a preliminary project schedule, that includes milestones and estimated delivery dates for all deliverables. The preliminary schedule should provide the SOTS with clear understanding of the vendor's proposed time frame for the project, from start to completion.

3) Project Master Plan Summary: As indicated in this RFP, the project master plan will include several comprehensive planning documents. The proposal must include a high-level summary of the below listed master plan elements. The summary does not have to be as detailed as required in the final master project plan, but it should provide sufficient detail to give the SOTS a clear understanding of the vendor's proposed strategy for each item:

a) System Installation: Provide a high-level description of how the vendor would fulfill the installation responsibilities and ensure the proposed technical solution is installed, operational and integrated within the state's network infrastructure.
b) Data Conversion: Converting the current data to the new system is a large, complex effort. Provide an explanation of the proposed data conversion strategy and how the vendor plans to execute this effort and ensure the accuracy of the data conversion. Include any relevant experience with large, data conversion projects.
c) System Testing: Provide a high-level description of the vendor's proposed testing strategy and methods for any COTS (Commercial Off-the-Shelf) products or custom developed products. The description must address the testing plan creation, methodology on load testing, test case/script generation, test phases, the execution of the test plan and proposed participation by state and SOTS staff. The test plan execution should include the topics of results recording, defect handling and regression testing. Include a description of any testing tools the vendor plans to use.
d) Training: Provide a high-level overview of the vendor's proposed training strategy, including a description of the types of training and the staff that should receive this training to maintain and operate the proposed solution. As part of the overview, describe the documentation and materials that will be provided to compliment the training and that will enable staff to gain a full understanding of how to operate the proposed solution.

4) Warranty and Annual Maintenance: Provide a narrative that outlines the provisions covering warranty of hardware and software components of the solution. As part of the narrative, identify the warranty period of system components and the period when maintenance costs will begin. Describe what is included, excluded and the duration of the proposed warranty and maintenance agreement. Vendor will provide an M&O proposal with annual costs associated.

5) Documentation: Describe the documents the vendor typically delivers on a system application of this type, including the documentation format (hardcopy, online, etc.), documentation type (technical, user, etc.) and frequency of updates.

6) Voter Registration Requirements: The proposal must describe the vendor's approach and solution for meeting the requirements outlined in Attachment 1. If the proposed solution includes a COTS voter registration, describe the customization efforts necessary to meet the requirements and any risks involved. Include the process, method and tools the vendor will utilize to ensure full understanding of the requirements as they relate to the SOTS's business processes and that will completely document and track compliance with the requirements from identification to implementation.

Management Plan for the Project

The vendor selected in response to this RFP must provide experienced, qualified professionals to ensure the success of the project.

Vendors must provide comprehensive narrative statements that set out the management plan they intend to follow and illustrate how the plan will serve to accomplish the work and meet the state's project schedule. The management plan for the project must address the following elements:

1) Resource Management Plan: Provide a high-level summary of the vendor's proposed resource management plan, including the following:

a) An organizational chart showing proposed team members and defining all key functional, technical and management roles of, and reporting relationships among, team members.
b) Detailed list showing each individual proposed to serve on this project, with a complete description of their role, responsibilities, estimated percentage of time the individual will be dedicated to the project, and experience with voter registration systems. Include resumes for proposed personnel, describing each individual's educational background, experience and any other pertinent professional information that demonstrates the individual's qualifications and experience as related to a project of this type.
c) Confirmation that the vendor commits that the proposed personnel will actually be assigned to the project and will not be reassigned to other projects without the explicit written approval of the SOTS and that the SOTS will have the right to cancel any and all agreements with the vendor if specific personnel proposed by the vendor will not be available for the project.
d) Confirmation that the SOTS retains the right of approval over all proposed personnel, including potential substitutions to those proposed in response to this RFP and that the vendor commits to replace project personnel whose performance

is unsatisfactory to the SOTS with other personnel whose experience and skills are acceptable to the SOTS.

2) Project Monitoring: Describe the vendor's proposed strategy for ongoing project management throughout the life of the project, including the metrics and other indicators the vendor will utilize to monitor the project's progress towards it goals and execution of the project schedule, as well as monitor and identify risks associated with the project and what the vendor will do to mitigate known risks.

3) Joint Venture and/or Subcontractors: If the vendor is submitting a proposal as a joint venture, the vendor must submit a copy of the joint venture agreement which identifies the principals involved and their rights and responsibilities regarding performance and payment. If a vendor intends to use subcontractors, the vendor must identify in the proposal the names of the subcontractors and the portions of the work the subcontractors will perform.

Experience and Qualifications

The proposal must present a full and complete description of the qualifications of the vendor to complete the requirements in the Scope of Work Section.

1) Company Overview: Provide information about your company, its capabilities, and why it should be selected for this project. The overview should describe the kinds of projects the vendor's firm typically performs.

Describe evidence of company stability and ability to perform required work for this project. Include items such as number of years in business, number of employees, employees with voter registration experience, and company location(s). Vendor may provide any additional information that demonstrates the strengths it can bring to this project.

2) Relevant Business Experience and References: Vendors must provide a summary of every comparable voter registration system (or similar project) serving as the prime contractor the vendor implemented within the last 10 years. The summary must include information relating to the solution implemented, including if it was a COTS solution or custom developed, and if COTS, the amount of customization required, if any.

The summary must also describe if the project was successfully completed, completed as originally scheduled (if not, the extra time required to complete) and within the original bid amount (if not, include the dollar amount of the overage). A list of each jurisdiction and/or entity the system was implemented for must also be included in the summary.

Additionally, the summary must disclose any litigation the vendor has been involved with over contract performance.

Vendors must provide at least three references, with at least one being from a jurisdiction where the vendor successfully developed, installed, and implemented a centralized voter registration system with a minimum of 500,000 registered voters. Each reference must include:

- Customer name, customer contact name, title, current telephone number and email
- Project description
- Overview of original project schedule and actual completion/final implementation date
- Original project budget and final total cost with savings/overage documented
- Number of internal users of the application system
- Number of registered voters and/or records in the system
- Number of transactions processed (average daily/monthly/yearly)
- Description of architecture used

Referenced projects should demonstrate the vendor's capability in the following areas:

- Requirements gathering and definition
- System design
- System development
- Conversion
- Security
- Testing
- Training
- Project Management

The SOTS reserves the right to contact and verify, with any and all firms with whom the vendor has been known to have conducted business, the quality and degree of satisfaction for such performance.

3) Financial Status: Vendor must provide company financial information. This information must include, at minimum, how long the company has been in business and whether or not it is a wholly owned subsidiary of another company. If the company is publicly traded, include a financial statement for the last two years, which includes, at minimum, a profit and loss statement and a balance sheet. If the company is not publicly held, submit a copy of the company's most recent financial statement and organization/financial structure of the company. All financial

information (except public information for a publicly held company) will be treated as confidential and shall be used for this proposal only.

The vendor shall also include a statement of the vendor's other contractual obligations that might have an influence on the capabilities of the vendor to perform the conditions of the contract (i.e., shared personnel) or whose financial condition is deemed to be a risk to the SOTS for successful performance of the contract. The SOTS may disqualify from consideration any vendor who is involved in bankruptcy proceedings.

Cost Proposal

Vendors must include in their proposal 1) A one-time TOTAL FIXED PRICE for the statewide voter registration system. 2) An ANNUALIZED ongoing cost for hardware, software, labor and miscellaneous costs.

The TOTAL FIXED PRICE must include all hardware, software, equipment, maintenance, support, and all additional miscellaneous expenses associated with fulfilling the RFP requirements. Proposals received that do not include a total fixed price shall be considered non-responsive and shall not be evaluated.

The ANNUALIZED ongoing cost must include all hardware, software, equipment, maintenance, support, and all additional miscellaneous expenses associated with fulfilling the RFP requirements. Proposals received that do not include an annualized ongoing price shall be considered non-responsive and shall not be evaluated.

Cost proposals must include the cost of the following:

a) hardware costs – identify all the hardware costs associated with the proposed system;
b) software costs - identify all the software costs associated with the proposed system;
c) labor costs - identify all the labor costs associated with the proposed scope of work, to include a total estimate of hours necessary. Include hourly rates for work identified and approved that is beyond the scope of this RFP; and
d) miscellaneous costs – identify any and all miscellaneous costs associated with the proposed system.
e) Items such as; SAAS, tool cost, credentialing, document generation, etc.

Vendor’s Presentation

Vendors must provide an on-site presentation of the proposed statewide voter registration system. The presentation will be limited to 6 hours and should allow for questions. Presenters must include key personnel identified in the proposal.

Offers must provide an agenda that outlines the contents of their presentation no less than two days prior to the presentation date. The agenda must include the significant points of the presentation that relate to the requirements of this RFP.

The goal of the presentation is to give the selection committee members a clear understanding of the solution being proposed and how that solution will meet the overall requirements.

Vendors are encouraged to, at a minimum, include the below listed topics during the presentation/demonstration.

a) Brief overview of company that includes previous experience implementing similar projects and why the vendor should be selected for the project.
b) Brief conceptual description of the proposed architecture, including diagrams and vendor's reasons for selecting the proposed architecture.
c) A discussion of the technical, cost and schedule risks and a description of what efforts are planned to reduce those risks.
d) High-level overview of proposed schedule and background as to how the proposed schedule was determined.
e) High-level overview of the vendor's management strategy of the project.
f) Thoughts, comments or strategies relating to the proposed statewide voter registration system ability to provide the additional capabilities desired by the SOTS.
g) If the proposal includes implementation of an existing statewide voter registration system, a demonstration of the system's capabilities as they relate to the following sub-systems and/or modules required by the SOTS and outlined in Attachment 1 and the vendor's proposed strategy for making any modifications necessary to meet the requirements:

- Municipalities and Re-Districting
- Voters
- Election Management (As an Interface)
- Absentee/Questioned Voting
- Petition Management
- System Administration
- Reports

If a required sub-system is not included in the existing proposed application the vendor should clearly describe how and when it will be integrated into the system.

h) If the proposal does not include the implementation of an existing statewide voter registration system, the vendor must clearly describe the methodology and vision for development of such a system.

i) Any other item, the vendor believes will provide the selection committee members with a clear understanding of the solution being proposed and the vendor's ability to meet the requirements of this RFP.

Evaluation Criteria
All proposals will be reviewed to determine if they are responsive. They will then be evaluated using the criterion that is set out below.

EVALUATION CRITERIA AND CONTRACTOR SELECTION
THE TOTAL NUMBER OF POINTS USED TO SCORE THIS PROPOSAL IS 100

Proposals will be evaluated against the questions set out below:

Technical Solution for the Project (15 Percent)

[a] Does the proposal clearly describe the total overall system architecture (hardware and software), supported by diagrams, and demonstrate that the system has the ability to meet the requirements of this RFP?

[b] Does the proposal describe a proposed failover solution for two remotely separated, synchronized installations and demonstrate the system architecture will be fully redundant with no single point of failure?

[c] Has the vendor clearly described the architecture of each component as it relates to the total system architecture as outlined above, including backup and recovery?

[d] How well does the proposal describe the network configuration of the proposed technical solution, including the connectivity with hardware components, bandwidth requirements and possible remedies and/or options for clients with low bandwidth and high latency office locations?

[e] How well does the proposal outline the security strategy and does it include a plan for evaluating security of the developed system?

[f] How well does the proposal describe the software elements of the technical solution and will the software meet state standards?

[g] Does the proposal clearly identify the recommended database system, supporting capabilities of the database, the reasons for the recommendation and affirmation that the SOTS will be the sole owner of the data residing in the system?

[h] Has the vendor detailed the application development tools necessary to meet the requirements of this RFP?

Methodology Used for the Project (20 Percent)

[a] How well does the proposal describe the project approach and project phases and does the methodology depict a logical approach to fulfilling the requirements of the RFP?

[b] Has the vendor adequately described the project schedule, including relevant phases, milestones and deliverables and does the proposed schedule depict a reasonable timeframe for the project from start to completion?

[c] Does the proposal provide a clear and detailed plan on how the vendor will execute data conversion and does the data conversion strategy demonstrate the vendor’s ability to ensure the accuracy of the data conversion?

[d] Does the proposal clearly describe the vendor’s proposed test strategy from creation to implementation?

[e] How well does the proposal describe the training strategy and will the proposed training provide staff with a clear understanding of how to maintain and operating the proposed solution?

[f] How well does the proposal outline the provisions covering warranty and annual maintenance of the proposed solution?

[g] Does the proposal address, in sufficient detail, the vendor's approach and proposed solution for meeting the Statewide Voter Registration System requirements outlined in Attachment 1, is the approach and/or proposed solution practical and feasible to meet Connecticut's requirements and if the proposed solution is a COTS product, does the proposal identify modifications that may or may not be necessary?

Management Plan for the Project (10 Percent)

[a] How well does the management plan support all of the project requirements and logically lead to the deliverables required in the RFP?

[b] Is the organization of the project team clear?

[c] Does the proposal include an organizational chart that defines all key functional, technical and management roles of team members?

[d] How well does the management plan illustrate the lines of authority and communication?

[e] Does the proposal include resumes and do the resumes demonstrate the individual has the qualifications and experience necessary for a project of this type?

[f] How well does the proposal describe the vendor's proposed strategy to fulfilling the ongoing project management requirements?

Experience and Qualifications (15 Percent)

[a] Does the proposal demonstrate that the vendor has the experience and qualifications necessary to complete the requirements of this RFP?

[b] How well has the firm demonstrated experience in completing similar projects successfully, on time and within budget?

[c] Has the firm provided letters of reference from previous clients and do those letters demonstrate a positive relationship and reputation between the vendor and the client?

[d] Does it appear the firm is financially solvent and has the resources to complete the project, including financial, personnel and time?

[e] Does the proposal demonstrate that the vendor has the ability to provide adequate support for its products after the contract is complete?

Contract Cost (25 Percent)

Overall, 25% of the total evaluation points will be assigned to cost.

The lowest cost proposal will receive the maximum number of points allocated to cost.

Presentation Evaluation (15 Percent)

Presentations will be evaluated on the following:

[a] Did the presentation provide a clear understanding of the vendor's proposed solution?

[b] Did the presentation demonstrate the vendor's ability to implement the proposed solution?

[c] Did the presentation demonstrate how the proposed solution can meet the RFP and Attachment 1 requirements?

ATTACHMENT #1

Statewide Voter Registration System Requirements

General Overview

The local Registrars of Voters in each of Connecticut's 169 Municipalities are responsible for managing and maintaining voter registration records. Each of the state's 169 Municipalities process voter registration records and perform election management functions. Each office must have real-time access to the registration and system. Once a record is updated in one office, any other office must have immediate access to the updated information.

In addition to voter registration, each municipality is also responsible for conducting state and federal elections as well as local elections and referendums.

The system must contain at a minimum the following sub-systems and/or modules:

- Geographic Entities (GIS)
- Voters
- Election Management (As an Interface)
- Absentee Ballot Management
- Petition Management
- System Administration

The SOTS and municipalities must be able to extract data from the system and produce various reports. The voter registration system must include a software solution that includes a general report writer for creation of formatted reports using the extracted data. In addition to any standard reports, the system must be able to produce, at a minimum, 100 custom reports specifically for use in Connecticut as approved and defined by the SOTS.

When generating reports, the SOTS must be able to:

- Generate reports on demand, overnight or in “batch” mode as defined by the SOTS.
- Select various options for sorting, filtering and selecting political jurisdiction of requested data as defined by the SOTS, including whether or not to suppress confidential information contained on voter records.
- Select printing options, such as output to paper, electronically as ASCII text, or in PDF format.
- Print paper reports
- Any and all reports required by the US Department of Justice for Military and Overseas Voting and the US Election Assistance Commission.

The reports shall be identified and approved by the Secretary of the State SOTS of Elections during the detailed, technical design phase of the implementation project.

The detailed requirements for each module are outlined on the following pages.

Geographic Entities Requirements

Districts

G1-1 - Connecticut currently has 151 house districts, 36 senate districts and 5 congressional districts. Each district has a unique number as follows:

House Districts: 3-digit number (leading zero if necessary)
Senate Districts: 2-digit number (leading zero if necessary)
Congressional Districts: 1, 2, 3, 4 and 5.

These districts must be associated to the appropriate precinct designated in Connecticut.

The system must provide the capability to add, update or delete house districts, senate districts and congressional districts and shall provide a convenient and clear ability to assign these districts to specific precincts.

G1-2

Connecticut associates election jurisdictions as follows, State/Federal, Local, and Special Districts. These districts are assigned to individual precincts in each municipality.

The system must provide the capability to add, update or delete State/Federal, Local and Special Districts and provide a convenient and clear ability to assign them to individual precincts or street/geographic area records.

G1-3

The system must provide authorized users the ability to look up districts. (House, Senate, Congressional)

G1-4

Connecticut tracks the number of active registered voters assigned to each district. The system must have the ability to track registered voters by district and well as precinct. (House, Senate, Congressional)

G-1-5
The district and precinct files/tables must be available to other system modules (address library, voters, election management, petitions, etc.)

Precincts
G2-1
Connecticut currently maintains over 785 individual voting precincts. Each precinct has an assigned number and name. Each precinct must have a house, senate and congressional district associated to the precinct.

The system must provide a convenient and clear ability to add and update precincts and allow for a minimum growth in the number of precincts maintained in the system of at least 100%.

G2-2
The system must provide for a 6-digit precinct number assignment consisting of:
Position 1-3: State House/Senate/Congressional District Number (01, 02, 03 etc.)
Position 4-6: Precinct number assignment (leading zeros if necessary)

The system must allow Connecticut to maintain the designated precinct numbers and names upon implementation and must allow for duplicate precinct number assignments (position 4-6) as long as the state house/senate/congressional district number (position 1-3) is different.

G2-3
Once a precinct is established in the system, street/geographic area records are associated to the precinct and voters are assigned to the precinct based upon their residence address.

The system must prevent the deletion of a precinct record if there are any street/geographic records or active registered voters associated with the precinct.

G2-4
The system must provide authorized users the ability to look up precincts and view on screen or print the election jurisdictions assigned to the precincts (House, Senate, Congressional).

G2-5
Connecticut tracks the number of active registered voters assigned to each precinct. The system must have the ability to track and report the number and names of registered voters by precinct.

Street Records

G3-1

Voter records must be automatically assigned to districts/precincts based upon the voter's residence address (street name and city only). The system must allow for the definition and storage of street records and geographic area records in an address library. The system must be able to handle records in the library that are:

- standard street addresses (with or without house number); and
- non-standard addresses that cover a geographic area only, such as just city name or descriptive phase such as "2 blocks from post office".

For street records, the system must allow for a street to be set up with or without house number ranges and/or mileage ranges designated and must require a city name, zip code and precinct number to be assigned to the street record.

G3-2

The system must provide a convenient and clear ability for authorized users to perform the following tasks associated with maintaining street records in the library:

- add new or modify existing streets and house number ranges, including precinct number assignment;
- extend house number range associated with a street;
- split street records into multiple house number segments as long as house number ranges do not overlap;
- reassign voters from a street record that was split into the new segments;
- delete existing street and/or geographic area records only if no voter's are assigned to record;
- maintain odd/even/both indicator for street records;
- maintain large residential complexes that utilize a single street address, but that has many buildings and/or units that are potentially assigned to different precincts;
- assign street records to a precinct, which in turn assigns the street to the appropriate house, senate, congressional, local and special district.
- enter a comment on the street record;
- reassign voters from one street to another where the voter's residence address matches;
- move groups of address records from one precinct to another;
- view on screen or print voter records assigned, and/or the number of voters assigned, to street record;
- view on screen or print street records assigned to a precinct; and
- view on screen the house district, senate district, congressional district, local district or special district assigned to the address record.

G3-3

The system must prevent duplicate and overlapping street records in the same municipality. For instance, for street records, there can only be one street record with the same municipal name, unless the street is split into house number ranges. If the street has house number ranges assigned, the system must prevent overlapping ranges unless there is a different odd/even distinction for the range.

G3-4
In some instances, street records need to be inactivated or placed in a pending status so that no further voter records can be assigned to the street. The system must have the ability to designate a record as either inactive, pending, or in-progress and once so designated, no further voter records may be assigned to the street record until the designation is removed.

G3-5
The system must have the ability to automatically assign a voter record to the appropriate address library record, which in turn assigns the voter record to the appropriate district/precinct, when the voter's residence address is entered on the voter record. When automatically assigning the voter record, the system must have the following capabilities:

- if the house number and street name, including street type, directional designations (North, South, East, West), odd/even range and municipal name, entered on the voter's record matches a street record, the system must automatically assign the voter record;
- if there is not a street record that matches the data entry of the residence address on the voter record the system must indicate an error message to the user; and
- The system must prevent a user from selecting a street record until the data entry of the voter's residence address is fixed to match street record information.

G3-6
The system must have the ability to define individual user access to add, modify, or delete records within the address library.

G3-7
The system must provide a convenient and clear ability for users to look up streets in the address library by whole or partial street name, or municipality only. If searching for a street record using a partial name, the system must present the user with a list of streets that begins with the characters entered.

The system must allow for searching address library records to be limited to a municipal name, expand to the user's district, or to be statewide.

G3-8
The system must provide the ability to assign an address type code to any record in the address library, such as commercial address, nursing home, etc., and whether or not the address record is valid for registering voters.

For example, users can set the address record for 3500 College Road, Fairfield as commercial address and indicate no further voter records can be assigned to this address. Voters assigned to the address before such a designation remain in the address record, but additional voters cannot be added. If a user tries to add a voter

where the address record is not valid for registering voters, the system must provide a warning and not allow the voter record to be completed.

The address type codes must be user-defined.

G3-9
The system must have the ability to track and report the names and number of active registered voters assigned to each address library record.

G4 Reports
G4-1
The system must provide the ability to produce, at a minimum, the following geographic entity printed reports and ASCII-formatted electronic files:

- list of precinct numbers and names by house district, senate district, congressional district, local district and special district;
- number of registered voters assigned to each precinct, with or without breakdown by political party affiliation (also in HTML format);
- address library reports, including user-specified subsets of the entire files such as, all address records in a precinct, house district, senate district, congressional district, local district and special district and by municipality;
- names and mailing addresses of active registered voters assigned to individual address records; and
- precinct cross reference detailing the house, senate, congressional district, local district and special districts assigned to the precinct.

G5 Redistricting
G5-1
The system must provide a solution that will allow the user to reassign, add, modify, consolidate, and delete precincts for redistricting. As part of the solution, the system must allow users to reassign address library records from one precinct to another if the precinct boundary is modified.

The system must prevent the deletion of precincts if address library records are assigned to the precinct being deleted.

G5-2
The system must have the ability to establish multiple “future views” or “test scenarios” that can be used for redistricting so that modifications to precincts and address library records can be made without affecting existing records until the future view or test scenario is activated.

The system must allow the future view or test scenario to be set up for the entire state or just for specific district(s) and must allow for multiple future views or test scenarios to be running simultaneously and for the user to designate which view

or scenario they are making modifications to. For instance, in view 1 the user might assign 123 Main Street to precinct 01-155, but in view 2, this same street might be assigned to precinct 05-540.

The reports established for geographic entities must also be available and contain redistricting data based on the future view or test scenario.

G5-3
When working in a future view or test scenario, the system must allow users to reassign an existing address library record from one precinct to another and to change the district designations assigned to the library record. However, if the user needs to modify the house number range, or create a new address library record, the system must prevent these changes from being made in a future view or test scenario.

G5-4
The system must provide for automatic reassignment of voter records during redistricting and must have the ability to automatically flag voter records to generate an export file to produce a voter information card for all voter records affected during redistricting if the voter's house district and/or precinct assignment is changed.

When voter records are reassigned to a new district/precinct during redistricting, the system must maintain a history of the prior district/precinct assignment on the voter record in such a way that the information is viewable by users.

G5-5
The system must have the ability to track and report the number of registered voters assigned to precincts in a future view or test scenario to allow the user to determine size requirements for precincts.

Voter Record Requirements

VR1-1
Connecticut assigns a unique voter identification number to each voter record maintained. The system must provide unique voter identification numbers for each voter record in the system. Connecticut must be allowed to maintain existing identification numbers assigned to voter records.

When producing reports where the voter identification number is included in the report format, the system must allow the user to include or exclude the voter identification number. If included, the user must have the ability to select one of the following formats as the number:

- voter identification number;
- ascension number (derived from the voter number and SOTS defined); or
- obscured (standard format where SOTS-defined data is included before and after the actual voter ID number).

VR1-2
In Connecticut, there are three types of voter records: active, inactive, and Off. Only “active” registered voters are eligible to vote and appear on voter registration lists and voter registration statistical reports.

The system must have the ability for entry, storage, processing, searching and display of, at a minimum, an active, inactive and off voter record status code.

VR1-3
There are various conditions associated with active records and reasons why a voter record may be inactive such as failure to respond to a canvass or a letter of acceptance is returned as undeliverable.

There are also various reasons why a voter record may be off such as death, felony conviction, purged or voter requested to remove record.

In order to keep track and describe the various conditions associated with a voter’s status, Connecticut uses a 2-character condition code on each voter record. Each condition code is associated to a specific status, either active, inactive, or off.

The system must have the ability to enter, store and display a minimum of 50 user-defined condition codes.

In addition, the system must have the ability to set which condition codes can allow record updates and prevent records with certain condition codes from being updated until the condition code is first updated. For instance, a record with condition code FC (felony conviction) cannot be updated until the condition code is updated to FD (felony discharge).

VR1-4
The system must allow for the entry of voter names using the following parsed name fields:

- last name;
- first name;
- middle initial(s); and
- suffix (Sr., Jr., other generations).

The system must have the ability to concatenate the name fields for display purposes.

VR1-5
The system must be able to accept input of residence addresses using the following parsed residence address fields:

- house number;
- house fraction number;
- 2-digit pre-directional code (i.e., SW, S, N);
- street name;
- type (i.e. street, road, highway, trail, avenue);
- suffix (alpha/numeric);
- city (pre-defined in Connecticut as one of 169);
- borough or subSOTS of a town;
- zip (brought into voter record from geographic file); and
- zip+4 (optional).

VR1-6
Many voters in Connecticut have a different mailing address from their residence address (i.e. post office box). The system must allow for both a residence and mailing address, with mailing being optional. However, for those voters whose mailing address is the same as their residence address, the system must default to the residence address as the mailing address unless a user enters a separate mailing address.

If a separate mailing address is needed, the system must allow for the following “parsed” fields long enough to meet US postal, foreign, and military mail regulations:

- mailing address line 1 (free-form entry);

- mailing address line 2 (free-form entry);
- mailing address line 3 (free-form entry);
- city;
- state;
- zip (including +4); and
- country.

The system must provide a solution for indicating if the mailing address on a voter's record is undeliverable and flag records with undeliverable mailing addresses on voter lists. In addition, there must be a solution that will allow the user to indicate if the mailing address is a forwarding address.

VR1-7
The system must allow for the entry and display of the following identifying information:

- voter's birthdate (mm/dd/yyyy);
- voter's Social Security Number (SSN) only the last-4 of the SSN with the last-4 being accessible for input, query and reporting; and
- voter's driver's license number or state ID number.

VR1-8
In order to track eligibility to vote and to perform voter list maintenance, Connecticut maintains various dates on voter records. The system must have the ability to capture the following date information using an eight-digit field (mm/dd/yyyy):

- original registration date - auto-filled when adding a new voter record to system, available for change on existing voter record;
- registration date – for new voter records, this date is same as original registration date and is auto-filled. For existing records, this date is user entered based on effective date of voter initiated update;
- district registration date – this date is system generated when the voter record is changed from one district to another and is based upon the voter's registration date;
- precinct registration date – this would be a new date added to system and would be system generated when the voter record is changed from one precinct to another and would be based on the voter's registration date;
- date of entry (DOE) – this is the date an update was made to a voter record and is system generated;
- privilege date – this is system generated when the voter's changes from one political party to another. The system will generate three months from the entry date. This date must also be altered by the user in case of error;
- suspension date – user entered based upon when an active voter record is manually inactivated; and
- restoration date – user entered based upon the restoration date of a convicted felon.

VR1-9
Connecticut maintains voter history on each voter record for 10 years. The system must be able to maintain, at a minimum, voter history for 10 years.
The system must be able to view and maintain history in a date format (mm/dd/yyyy) based on the date of the election and the assigned election ID.

VR1-10
The system must have the ability to check and report on duplicate voter registration records using various matching algorithms such as, but not limited to:

- duplicate birthdate and last name;
- duplicate last-4 of SSN and last name;
- duplicate last-4 of SSN and birthdate;
- duplicate SSN; and
- duplicate driver's license/state ID and last name.

VR1-11
In the event that duplicate records are found in the database, the system must provide a convenient solution to merge the data from the separate records into a single record. The solution will allow the various voter history references and documents attached to the records to be preserved into the single record.

If a duplicate record has an absentee ballot application on file, the system must include a solution that will maintain/merge the absentee ballot application information onto the record that is to remain in the system.

VR1-12
In the event that duplicate records are found and corrected, the incorrect record needs to be deleted from the system. The system must provide the ability to delete voters and limit which users have the rights to delete voter records.

VR1-13
It is not uncommon for political parties and/or groups to change in Connecticut. The system must allow an authorized user to add, modify or delete political affiliation types.

In addition, the system must be able to facilitate a "group" or "block" reassignment of records from one political affiliation type to another by a system administrator.

Search/View Voter Records

VR2-1
It is common for voters to contact the SOTS regarding their voter record. At the time of contact, SOTS staff must be able to search for the voter and view the record details to provide information to the voter. The system must be able to check for

existing voter records, active, inactive and off, using the following possible search methods:

- voter's full name;
- voter's last name and partial or full first name;
- voter's partial or full last name and partial or full first name;
- voter's full or partial last name, full or partial first name and date of birth;
- voter's full or partial last name, full or partial first name and last-4 digits of SSN;
- voter's date of birth and last-4 digits of SSN;
- voter's voter ID number; or
- voter's driver's license/state ID number.

When performing the search, if there is more than one potential record match, the system must return a list of possible matches.

VR2-2
When viewing voter records, the system must have the ability to conveniently view and produce a print report and/or print screen of the following information on an individual voter record:

- voter name, birthdate, last-4 SSN, driver's license number;
- residence address;
- mailing address;
- status and condition code;
- political party affiliation;
- dates associated with the record;
- current district and precinct assignments and prior district and precinct assignment;
- polling location for current precinct assignment;
- sex;
- military, overseas and disability indicators;
- voter history information; and
- documents attached to a record (i.e., microfilm reference and/or scanned images/signatures).

VR2-3
When viewing voter records, the system must provide a visual indication on all display screens, preferably color-coded, that indicates the person is not of voting age at the time of display or if the voter's record is in an inactive or off status.

VR2-4
When searching for voter records, the system shall allow users to select from any on-screen display of voter records that meet search criteria.

Add/Update Voter Records

VR3-1
Registration applications come from a variety of sources and the source must be tracked for reporting under the National Voter Registration Act (NVRA), Help America Vote Act (HAVA) and Uniformed and Overseas Citizen Absentee Voting Act (UOCAVA).

The system must provide a solution that allows for a report to be generated that satisfies the reporting requirements of the United States Election Assistance Commission.

The system must include a solution capable for data entry and/or scanning of registration applications to be processed when the application received has a valid bar code.

VR3-2
Before creating a new record, the system must be able to perform a check, using a matching algorithm, to determine if the potential registrant already exists in the database. If potential records exist, the system must provide a list of matching records for the user to either select from or add a new record if it is determined that there is not a duplicate.

VR3-3
The system shall, with ease of data entry, allow the user to add data on newly registered voters and must display data on existing registered voters and allow the user to modify existing records without re-entering existing data. The display data on existing records must include the most recently stored signature image.

The following information must be available to add to new records or modify existing records:

- name fields;
- residence address fields;
- mailing address fields (optional entry);
- birthdate (mm/dd/yyyy) (required for new records);
- last-4 digits of SSN (optional entry);
- Connecticut driver's license/state ID (optional entry);
- Sex;
- political affiliation;
- proof of ID provided indicator (HAVA);
- registration date;
- voter ID card flag;
- state/county information for previous registration (optional entry);

- disability indicator (optional entry);
- permanent absentee indicator (optional entry);
- telephone number (optional entry); and
- email address (optional entry).

VR3-4
When entering residence address information, the system shall facilitate auto-fill of the zip code using the address library. For instance, once the street and city is entered, the system would determine the zip code from the address library.

VR3-5
The system must be able to auto assign the voter's house district and precinct using the residence address entered on the record. If there is not a match in the address library for the residence address entered, the system must present the user with a list of possibilities to select from. For example, if a user entered Main St., Hartford, but the address library contained Main Ave, Hartford, the user would get a list of all street names of Main in city Hartford, as well as any geographic area records with city name Hartford, in order to correct the entry or to pick the geographic area record.

If there was no record in the address library for Main, the system must allow the user to conveniently obtain a list of all street names with the associated city.

If a voter's residence address is updated to a new address, the system must have the ability to maintain the prior district/precinct assignment for users to view on screen.

VR3-6
A person is eligible to register before their 18th birthday, as long as they will be 18 by the November election of that year, but is not eligible to vote until they turn 18.

To determine that a voter meets the age requirements, the system must provide for automatic calculation of age during data entry and must prohibit records from being added if the voter is not old enough.

When calculating the age, the system will compare the original registration date to the birthdate entered on the voter record.

VR3-7
In Connecticut, a person who resides overseas can vote for federal offices if the person was last domiciled in Connecticut. The system must allow an authorized user to document federal overseas voters.

Federal overseas voters are not required to provide a residence address, but the system must allow the user to enter either a full or partial residence address.

Federal overseas voter records must be searchable and retrievable as if they were fully registered voters. However, the system will not include these voters on any voter registration lists or official voter lists unless specifically requested by an authorized user.

VR3-8
Offices receive registration applications on a daily basis. The system must allow registrations to continue to be processed after the registration deadline for an election, without affecting the created official voter list.

However, during a Primary election, the system must provide a solution that will determine a voter's political party affiliation and eligibility to vote in the Primary election. The voter's party affiliation as of the primary date determines which primary election ballot the voter is eligible to vote. However, if a voter switches from one party to another, there is a three-month waiting period. What this means is that if user updates their party affiliation, less than three months before a Primary election, that voter will not appear on the voter list for the primary of the party they left and/or joined.

The solution should include the ability for a user to determine if the voter's party affiliation was updated after the deadline.

VR3-9
The system must allow a user to enter and modify data on a voter record whether or not there is a scanned image of the registration document or digitized signature to associate with the record. This requirement means that in the event the scanning capability is not available for any reason, the system will allow data entry and modification of data on a voter record.

VR3-10
When a voter is initially registering to vote by mail, the user must verify the voter's identity under HAVA. If the identity cannot be verified, the voter's record is flagged as needing proof of ID. Once the voter votes and is given voter history, the flag is removed from the record.

The system must have the ability to automatically remove the proof of ID flag from a voter's record when the voter is given voter history from a voter list.

VR3-11
It is not uncommon for the registrar to send mail to a voter, using the mailing address that is on the voter record, and have such mail returned to the registrar as undeliverable. In some instances, the post office provides the voter's forwarding address. When the SOTS receives undeliverable mail without a forwarding address, the voter's record should be flagged as undeliverable. When the SOTS receives undeliverable mail with a forwarding address, the voter's mailing address

is updated to the forwarding address and a notice is sent to the voter at the new address.

In addition, for mail returned with a forwarding address, the system must allow a user to flag the mailing address as forwarding and later produce an electronic report of all records in the municipality with the forwarding indicator. Once the report is generated, the forwarding flag is then removed from the voter record.

VR3-12
It is not uncommon for a voter, who has an active absentee ballot application on file, to submit a voter registration application. The system must have a solution that will allow the user performing data entry to determine if the voter has a current absentee ballot application on file so that the absentee record can be updated if necessary.

Unique User Profiles

VR4-1

The system must allow the SOTS to assign unique profiles for all registrars of voters, town clerks and associated staff.

In addition to the standard voter record information, the SOTS must be able to maintain the following information for each user:

- registrar name;
- home telephone;
- work telephone;
- fax number;
- email address;
- date certified as registrar of voters or town clerk;
- date trained of not a registrar of voters or town clerk or deputy registrar of voters or assistant town clerk;

VR4-2
When processing voter registration applications submitted through a user, the system must have the ability to track the date and number of registration forms processed and any actions taken by the user on such application or voter record.

List Maintenance

VR5-1
In compliance with NVRA, HAVA and Connecticut election laws, each municipality must perform annual list maintenance to identify, inactivate and remove voter registration records. List maintenance is a multiple step process that entails identifying records who have had been listed by the NCOA as having moved, have had no contact/activity with the SOTS or who have not voted in any election in four years, sending them an initial notice, and sending a second notice prior to inactivation.

The system must be able to identify and flag as list maintenance those records meeting the list maintenance requirements and produce an electronic list of the voters for the SOTS to send the initial notice.

Of those records flagged for initial notice, the system must have the ability to mark the record as needing a second notice and producing an electronic list for the SOTS to send the second notice.

Once flagged for a second notice, if the voter does not respond within the designated timeframe, the system must allow an authorized user to run a command/program to automatically inactivate those records and establish the voter's condition/reason code as "inactive".

Voters who were sent the initial notice, but not flagged for a second notice, can remain in the system as flagged for list maintenance and can be included in the next annual list maintenance if they still meet the requirements.

The list maintenance solution provided must meet NVRA, HAVA and Connecticut election law requirements.

VR5-2
When identifying and flagging records for annual list maintenance, the system must have the ability to consider activity appearing on the voter record as defined by the SOTS and outlined in Connecticut Statute. If the voter record indicated the required activity, the system must not flag that record for list maintenance.

Examples of voter activity that would preclude a voter record from being flagged would be a voter-initiated change to voter record, voting in any election, applying for an absentee ballot, signing a petition (as sponsor or signer).

VR5-3
Once voter records are flagged for the initial notice, the system must provide a quick and convenient solution for users to designate voter records needing a second list maintenance notice.

When designating records for the second notice, the system must prevent records from being flagged for a second notice if they were not flagged for the initial notice and must allow users to enter multiple records either through manual entry or using bar code scanner, without having to go into each individual voter record to make the designation.

VR5-4
Once voter records are flagged for the second notice, the system must prevent records from being "inactive" if there has been voter-initiated activity on the voter record.
VR5-5

As part of list maintenance, the system must be able to remove records, with certain “condition/reason” codes, that have been in an inactive status for four years and produce an electronic report, with SOTS-defined information, of the records removed.

Interfaces

VR6-1
The database must interface with web applications and Interactive Voice Response (IVR) system that allow voters to check their polling place location, party affiliation, registration status and ballot status.

The voter enters either their voter identification number or a combination of name and identifiers (last-4 SSN, birthdate) into the web applications which then interfaces with the database and returns certain data elements on the voter record, as defined by the SOTS, to the web application for viewing by the voter.

The system must include a standardized method to interface information on a voter’s record, as defined by the SOTS, with web applications, such as the SOTS’s online status and an IVR system. For instance, a voter voting an absentee ballot must be able to check the status of their ballot on-line showing when the application was received, when the ballot was mailed, when the voted ballot was received, and the ballot count code assigned to the returned ballot.

VR6-2
After each election, each municipality pays election workers for their time at the polls. The system must have the ability to interface election worker payment data with standard financial management solutions, by providing election worker payment data in an XML format.

VR6-3
Under NVRA, voter registration is performed at the Department of Motor Vehicles (DMV) simultaneously when a person applies for a driver’s license. DMV obtains and enters all voter registration information into their database to produce a registration application that is electronically transferred to the SOTS.

The SOTS expects that the new system will also provide a solution that will allow the voter data obtained at DMV or any other state agencies that electronically captures all elements in voter record data, as well as the voter signature, to be accepted and processed in the new system electronically.

The solution should also provide a user the capability to capture and upload a signature to a repository via a personal device, i.e. mobile phone or laptop.

When processing, the user would need the ability to review the DMV data prior to accepting it and link it to an existing voter record or add a new record. Once

accepted/linked, the DMV data would be used to update and/or add a voter record without the need for the user to re-enter the data.

VR6-4

Prior to each election, each municipality produces voter registries to be used at polling places as well as other various election related reports.

The system must provide a solution that provides an interface with printers in each municipality and at the state level when necessary.

Scanning/Imaging/Signature Maintenance

VR7-1

The system shall provide a solution to scan registration documents and attach the scanned image to a voter record for subsequent retrieval, display and printing. In addition, the system must allow the SOTS to capture the voter's digitized signature, associate the signature with the record, and store the signature.

The scanning capabilities must be compatible with commercially available scanning, bar code and OCR equipment.

VR7-2

The SOTS includes a bar-code format of the voter identification number on various mailings and the official voter lists. The system must support the automated entry of data, via bar code reading at the desktop of both linear and 2D datamatrix and QR bar codes.

At a minimum, the system must have the ability to receive bar code data for:

- voter history data from voter lists;
- absentee ballot processing;
- list maintenance; and
- voter record searches

As part of this requirement, the SOTS is looking for a software capability, when combined with the appropriate bar code gun, to read, at a minimum, all character sets of the Code 3 of 9, 128, UCC-128, EAN-128, SSCC-18 and SCC-14 and AIM QR Code 2005 and ISO/IEC 18004;2006 specifications.

VR7-3

The scanning solution implemented must provide the ability to deskew, rotate and despeckle scanned images.

VR7-4

The system must provide the ability to extract ("clip") a digitized signature image from a digitized voter registration form, associate that signature to the appropriate voter record, load the digitized signature image into the database, and make the signature image available for retrieval and display.

The system must prevent a user from making any modifications to the basic characteristics, structure and recognizable format of the signature.

VR7-5
In addition to capturing digitized signatures, signatures need to be captured and linked to a voter record from paper voter registration documents.

In order to efficiently capture signatures from various versions of registration documents, the system must allow for “zoning” of the signature area on, at a minimum, the following registration documents:

- Voter Registration Application;
- Absentee By Mail Ballot Application;
- List Maintenance Notices;
- Federal Post Card Application
- Federal Write-In Absentee Ballot Application

The system shall support configurable and one-off manual zoning of registration documents to capture signatures for storage.

VR7-6
Scanned images and signatures shall be in a standard, non-proprietary TIFF format. The system shall not modify or store in any way (such as a special “wrapper) the TIFF images that would require use of proprietary software to view, display or print the images.

VR7-7
Signatures shall be stored in a way to provide for timely display.

Reports

VR8-1
Connecticut produces various voter registration and election management reports in both printed and electronic format. The system must have the capability to print reports locally at the users designated printer. In addition, the user must have the ability to select the report to be generated overnight or on demand.

The system must allow the user to select to print any report in paper or electronic format ASCII text (both delimited and fixed width).

The system must allow a user to generate a report, as defined by the SOTS, containing the names and other SOTS-defined information of all active, inactive, or off voters, or any combination thereof, that are subject to disclosure under Connecticut public records laws.

VR8-2

Connecticut produces voter lists containing the names of registered voters in numerous political jurisdictions. The system must allow the user to order registration reports, containing standard SOTS-defined data, and filter the data by, at a minimum, the following:

- any political jurisdiction (i.e., statewide, senate district, house district, congressional district, local district, special district, precinct);
- political affiliations (include all affiliations or user selects which affiliations to include);
- records with certain reason/condition code (include all or user selected);
- new/updated records in district from user selected date;
- records in district up to a user selected date;
- record flagged as disabled;
- records flagged as military;
- records flagged as overseas; and
- records flagged as permanent absentee.

When ordering reports, the system must also allow the user to:

- select the sort options of the data set (alpha by name, district or precinct);
- include confidential data; and
- suppress the residence address on those records containing the private residence indicator.

Standard reports shall contain only those records with an active status. The system shall suppress the printing of confidential data unless specifically included by user.

VR8-3

In addition to standard voter record reports, the system must allow users to build an electronic (ASCII formatted) voter list, containing the last name, first name, middle initial, and name suffix, from user selected data. At a minimum, the electronic report would allow the user to select voter records for one of the following filters:

- statewide;
- house district;
- senate district;
- house/senate district/precinct;
- congressional district;
- local district
- special district
- condition code (reason code); or
- municipal file.

Once the filter is chosen, the system must allow the user to select the data fields to include such as:

- voter ID (as either true number, obscured number or ascension number);

- residence address;
- mailing address (if selected to be included, there must be a flag for those records marked as undeliverable mailing address);
- date of birth;
- last 4-digits of social security number;
- Connecticut driver's license/state ID number;
- sex;
- political affiliation; and
- house/senate/congressional district/precinct.

VR8-4
The system must provide a statistics report that will indicate the number of registered voters (active only) by precinct (in precinct order). The report must include the total for the precinct as well as the number registered under each political affiliation category.

When ordering this report, the user must be able to select statewide or by house/senate/congressional district. The report must be available in paper, electronic and HTML formats.

VR8-5
The system must provide a statistics report that will indicate the number of registered voters by the following age groups:
- 18 and 19
- 20
- 21
- 22 – 24
- 25-34
- 35-44
- 45-54
- 55-59
- 60 – 64
- 65-74
- Above 75

The report must provide a breakdown of the total number of active records in each category, as well as a breakdown of the number of male, female and by each political affiliation.

VR8-6
The system must provide a statistics report that will indicate the number of registered voters by age group who voted in a specific election. The report must provide a breakdown, by age category of the total, male, female records, and the total of how many voted. The report must further breakdown the number of voted in each political affiliation for each age group.

VR8-7

Under NVRA, HAVA and UOCAVA, the SOTS must produce a statistical report showing the number of registrations received by NVRA source. The system must provide a statistical report that meets these requirements. The report must be able to be ordered by municipality or statewide as well as by date range and yearly (for specific year). If ordering by year, the user must have the ability to select the report to print quarterly or monthly with totals at the end of the selection as well as the overall total of all for the year.

VR8-8
When adding/updating voter registration records, the applicant can request cancellation of their registration in another state.

The system must provide a batch function to be automatically generated, on a monthly basis defined by the SOTS, a notice of those registrations that request cancellation in another state. There must be a separate notice for each state that the SOTS can use to mail to individual states. The notice must include the voter's full name, residence address, mailing address, date of birth, or last-4 digits of SSN.

The system must provide the capability for an authorized user to maintain the contact information for each state (names, email, mailing address, fax numbers) for election officials in other states in which the notices will be sent.

VR8-9
The system must allow a user to track if a voter's mailing address was updated based on a forwarding address provided by the postal service. The user must be able to update the voter's mailing address and then flags the record as "forwarding". The forwarding flag allows the SOTS to produce an electronic list of the flagged records to send the voter a letter.

The system must provide a solution that will allow a user to produce an electronic report, by municipality, of voters with a forwarding address flag. Once the report is produced, the flag must be automatically removed by the system.

VR8-10
The system must provide a batch function to create an electronic voter file, based on reason codes, to produce notifications (i.e, list maintenance notices) for in-house printing.

VR8-11
In order to clean up duplicate voter registration records, the system must provide the ability to report on potential duplicate registration records using, at a minimum, the following match criteria:

- duplicate birthdate and last name;
- duplicate last-4 of SSN and last name;

- duplicate last-4 of SSN and birthdate; and
- duplicate driver's license/state ID and last name.

In addition to duplicate records, the system must provide a report, based on election ID, showing those voters who voted, in the same election, more than once. For example, if the voter voted at the polling place and was given voter history from the precinct register, and also voted an absentee, the system would generate a report, by municipality, of duplicate voters.

VR8-12
In addition to the identified user selected reports, the system must provide for SOTS-defined standard electronic reports provided to Connecticut Jury Administration and other agencies. These reports will contain standard voter record information.

VR8-13
Prior to each primary and general election, the SOTS produces a voter pamphlet that is mailed to each registered voter household. The system must provide an electronic (ASCII format) address file by household. The file must contain the house/senate/congressional district and municipality associated with the household.

In addition to the actual address file, the system must provide for a printed statistical report showing the number of registered households in each house/senate and congressional district and municipality.

The household address file will be provided by the SOTS to the printer selected for producing the pamphlets.

VR8-14
In an effort to identify voters who may be registered in more than one state, the SOTS participates in a data matching project with other states.

Although the matching generally involves a standard data format for an ASCII text file that is exported from the registration system, there has been and could be a need to make adjustments to the data fields and format of the export.

The system must be able to generate a standard export of active voter records that can be used to match registration data with other jurisdictions and agencies. The export will contain SOTS-defined data, including a SOTS-defined data format.

In addition to a standard data format, the SOTS envisions a system that will allow a system administrator to define the various data fields and format to produce an extract of the "active" voters that can be used to match registration data with other states.

VR8-15
Prior to removing voter records or "purging" records for list maintenance, the SOTS will produce a report that shows voter records before and after any changes. This report must be saved and used for future reference if necessary.

The system must have the ability to produce a SOTS defined report that will allow the capture of voter record data before and after list maintenance.

Election Management Requirements

The current SOTS Election Management System is a separate application from the Centralized Voter Registration System. The goal of the CVRS project is the ability for the EMS to interface with the new CVRS after the CVRS system is created. Below are some of the components and current functionalities of the EMS which will NOT need to be part of the CVRS project but will need to have an automated interface upon creation of the new system. [No solutioning or response is needed for the EMS section, but is merely provided for understanding of how the EMS currently performs and what will be required for future interface with CVRS.]

Election Administration

EM1-1
The SOTS will establish a 6-digit alpha/numeric code to identify each individual election and to perform election related tasks. In addition to the Primary and General elections, the SOTS conducts other various local elections as well as prepares registrars for all municipal elections in Connecticut.

The system must allow for the creation, storage and tracking of multiple overlapping elections using a 6-digit alpha/numeric election ID code (i.e., 10GENR represents 2010 General Election).

Once the election ID is created, the system must allow users to search (by election ID, name or year) and view the election ID and allow an authorized user to update information about the election.

EM1-2
When establishing an election ID, the system must allow for the entry and capture of the following data:

- type of election (i.e, primary, statewide, local, other);
- date of election;
- status of election (i.e, active, inactive, certified, marked for deletion);
- name of election – at least 60 characters;
- poll times (open and close);
- candidate filing deadline;

➢ registration deadline - using the date of the election, the system must automatically calculate and display the registration deadline 7-days prior to the election date and allow for modification of the date by authorized user for those elections where the registration date is not 7-days prior;
➢ fiscal information; and
➢ fiscal payment code.

In addition to the above data, the system must have the ability to select, with ease, the applicable jurisdiction (house/senate/congressional districts, local districts or special districts) specific to the election.

EM1-3
Connecticut produces voter lists using street address, street number and name. The register contains the names of all active status registered voters who are within the jurisdiction of the election and who were registered on or before the registration deadline established in the election ID for each precinct in the state, or each individual precinct associated with the jurisdiction of the election.

The system must have the ability to generate the official voter lists (both a paper and electronic copy) when an authorized user requests the creation for a specific election ID. The user must have the ability to create registers statewide, by municipality or by individual house/senate/congressional district.

Once registers are created, the number of registered voters added to the registers must be added to the election ID.

The system must have the ability to delete, override or re-create a register when requested by an authorized user without having to create a new election ID.

EM1-4
Once created, the official voter lists must contain the following information:

➢ voter ID number (numeric and bar code format);
➢ voter's name, residence and mailing address, digitized signature from record (optional);
➢ voter signature area (optional);
➢ political party affiliation; and
➢ identification presented columns

The voter names appearing on the register must be sequentially numbered.

The voter's name area must include an "asterisk" for any voter whose registration record indicates proof of identification is needed.

Each register page must contain the house/senate/congressional district and precinct number, precinct name, election ID, and page number in the header. In

addition, the bottom of each register page must include an area to record the number of voters checked as having voting and a subtotal.

EM1-5
When generated, the official voter lists must include the names of those 17-year-olds who are registered on or before the registration deadline and who will turn 18 on or before Election Day.

EM1-6
The system must contain a solution that will allow the registers, once generated, to be printed locally.

When ordering the registers to print, the user must have the ability to print all registers for a municipality, house/senate/congressional district or multiple districts, precinct or multiple precincts.

In addition to printing the registers, the system must have a solution that will allow users to view the names appearing on a register (including register line number the name appears), on screen, in the same order as they appear on the printed register.

EM1-7
Upon completion of the post-election review, the SOTS certifies state-conducted elections. The system must allow, but not require, an authorized user to change the status of an election to “certified”. For a Primary election, once the election is certified, the system must have a feature that will “unfreeze” the political party affiliation on voter records and display the affiliation updated after the registration deadline.

Once an election ID is marked as certified, the system must include features that will:

- prevent information contained within the election ID record from being modified or deleted;
- prevent official voter lists from being created or modified;
- prevent contest or candidate information from being added, modified or deleted, but allow the contest/candidate information to be copied to a new election ID;
- allow an absentee ballot to be logged onto an individual voter record for the election (in the event the SOTS receives a voted ballot after the election is certified);
- prevent polling places and absentee voting locations from being assigned to the election ID, but allow those assigned to a certified election to be copied to a new election ID;
- allow election workers (including hours worked) to be added to the election ID, including copying all workers assigned to a certified election ID to a new election ID; and

➢ allow voter history to be recorded on a voter record.

EM1-8
The system shall provide an authorized person with system administrator or database administrator privileges with the capability to perform the following tasks if the status of an election is marked as certified:

➢ delete all election records associated to an election ID, including contests, candidates, polling place assignments, election worker assignments, created official voter lists, and absentee vote;
➢ remove the records of a certified election ID from the database and archive the information from that election ID to a media external to the database.
➢ The deletion, removal and/or archival of election ID records shall not include voter history data for the election that is attached to an individual voter record.
➢ The system must prevent an unauthorized user from performing any tasks associated with the deletion, removal or archival of election records associated to a certified election.

Contest/Candidate Administration

EM2-1
The various races appearing on a ballot for each election are identified as contests. The system must have the ability to define multiple contests, assign contests to a specific election ID and define if the contest is partisan or nonpartisan (Primary election).

When defining the contests for an election, the system must provide, with ease, a solution that will allow all or part of the contests defined for a previous election ID to be copied into a new election ID. If all contests are selected, the system must allow an authorized user to delete a contest.

Although contests can be defined for an election, they are not required for all election ID's that will be defined. The system must not require contests to be defined for each election ID.

SOTS currently has a separate Election Management System that must communicate with ease with the Voter Registration System.

EM2-2
Once contests are defined for an election, the names of candidates are added to each contest. The system must allow an authorized user to add, update and delete multiple candidates as they relate to a specific contest assigned to a specific election ID.

To minimize data entry, the candidate module must interface with the voter registration records and bring forward the following information from the candidate's voter record:

- voter ID number;
- name;
- residence address;
- mailing address; and
- political party affiliation.

If the candidate is not a registered voter, the system must allow above information about the candidate to be entered into the contest (i.e., Presidential/Vice Presidential candidates).

In addition to the voter record data, the system must allow for the entry of the following key information relating to each candidate:

- incumbent indicator;
- status (certified, not certified, withdrawal);
- filing date;
- filing method (endorsement, write-in or nominating petition);
- name for ballot;
- campaign web address
- campaign mailing address;
- campaign phone number;
- campaign fax number;
- email address; and
- comment field.

If the candidate filing method is nominating petition, the system must allow a user to indicate the petition ID for the candidate and link to the petition module.

EM2-3
Information contained in the candidate file is used on the SOTS's website and in the SOTS's ballot tabulation database. The system must have the ability to communicate candidate information, as defined by the SOTS, to and from the SOTS Election Management System in real time.

EM2-4
The system must have the ability to indicate a candidate is a winner in a specific election and allow those candidates marked as winners to be carried forward to another election ID (i.e., candidate x wins the primary election and needs to appear on general election ballot).

EM2-5

In an election, there are contests on the ballot that do not have candidates (i.e., ballot measures). The system must allow contests to be defined for a specific election that do not have candidates.

EM2-6
Throughout the election, the SOTS must be able to easily view and print reports showing the contests assigned to an election and the candidates in each contest. The system must have the ability to view on screen the contests and candidates as well as produce a report of contests and candidates for a specific election ID.

Polling Places and Election Workers

EM3-1
For each precinct there is an assigned voting location i.e., polling place. In addition to precinct polling places, Connecticut has central absentee voting locations. The system must provide a solution that will allow for the management (add, delete, modify) of the polling places and absentee voting locations as well as the assignment of the locations to specific elections.

The following information must be maintained on each polling place:

- polling site id (district/precinct number for precinct polling places and municipal designated number for absentee polling locations);
- polling site type (precinct, absentee, EDR);
- status (active or inactive);
- polling place name;
- polling place address;
- polling place city;
- polling place phone number;
- ballot count method (hand-count, electronic or absentee);
- language assistance indicator (yes or no) and language;
- type of building (i.e., church, school, community center);
- payment requested indicator (yes or no);
- vendor number (required if pay = yes);
- accessible indicator (yes or no);
- date of accessibility survey (mm/dd/yyyy);
- owner name;
- owner mailing address;
- owner telephone # and fax #;
- tax id #;
- contact name and contact telephone #;
- comment field (free-form at least 72 characters); and
- directions (free-form input area for users to enter driving directions to location).

EM3-2

For any polling places or locations designated as central counting or election day registration locations, the system must provide a solution that will allow users to maintain information needed to facilitate those functions such as (i.e., location of telephone jack, dialing prefix, instructions on gaining access to telephone jack or internet, etc.).

EM3-3
The system must provide the ability for users to assign one, multiple or all active polling places within a municipality to an election. In addition, the system must have the ability to copy all assignments from one election ID to another election ID.

The system must prevent the deletion of a polling place that is assigned to an active election ID.

EM3-4
When preparing for an election, municipalities send recruitment notices to polling places to ensure the facility can be used for the election. The system must be able to track polling place recruitment by allowing the user to indicate when the polling place recruitment notice was sent and when it was returned.

EM3-5
Numerous election workers are recruited and assigned to polling locations for an election. For an election, workers are assigned to a position and may be assigned to multiple positions within the same election at different polling locations.

The system must provide a solution that will support tracking of interested workers, recruitment and management of election workers, worker positions, election assignments and pay rates.

The solution provided must allow users to maintain and access names of individuals interested in serving as election workers for subsequent recruitment and assignment to an election.

The solution provided must allow users to assign workers and their position(s) to an election ID individually at the worker record level and through an “all-in one” screen where multiple workers can be assigned to the individual polling place. In addition, the system must be capable of copying all workers assigned to one election ID into another election ID (i.e., copy all workers from primary election to general election).

Once workers are assigned, the system must have the ability for the user to designate the worker to a training session and mark if the worker attended either on the individual worker record or through an “all-in one” screen for the polling place.

EM3-6
To minimize data entry, the worker module must interface with the voter registration records and bring forward the following information from the voter's registration record:

- voter id #;
- name;
- mailing address;
- house/senate/congressional district and precinct of registration record;
- political party affiliation;
- phone number; and
- birthdate.

If the worker is not a registered voter, the system must allow the above information, with the exception of a voter ID #, to be entered as a worker record (i.e., youth workers).

In addition to the voter record data, the system must allow for the entry of the following key information relating to each worker:

- worker status (active or inactive);
- telephone # (if not included on voter record);
- cell phone #;
- email address (if not included on voter record);
- vendor #;
- languages in addition to English (choose from list of SOTS defined languages and/or add other with name of language if not in list);
- alternate mailing address; and
- comment area (free-form text at least 1,024 characters).

The system must maintain information about the last election and position worked on worker records and allow users to view and/or print all previous election assignments and positions an election worker has worked.

EM3-7
Many election workers work multiple positions during an election. The system must allow the same worker to be assigned to multiple positions in the same election. If a user is attempting to assign a worker who is already assigned to the specific election, the system shall provide a notification to the user that the worker is already assigned and shall allow for an override option, if applicable.

The system must allow a user to view and/or print the election workers assigned to specific polling locations as well as view all locations where a worker is assigned for a specific election.

EM3-8

The system must be able to provide some form of notification (either visually on screen or in printed report) if an assigned election worker's voter record becomes inactive.

EM3-9
The system must allow users to delete a worker record if that worker is not assigned and allow for an override option if the worker is assigned.

EM3-10
Pay rates are associated to the various types of election worker positions used during an election. The system must have the ability to associate pay rates, hourly and fixed, to worker position types.

EM3-11
After each election, the state offices process election worker payments. Hours worked by each worker are listed on a timesheet and multiple workers in the polling place may be on a single timesheet.

The system must allow users to process election worker payments in bulk on an "all-in-one" screen for the polling location. Users must be able to enter the number of hours worked or a fixed rate. If number of hours is entered, based on the worker's position type, the system must automatically calculate the worker's pay.

In addition to entering the election worker payments, the "all-in-one" screen must allow payment to the polling place to be entered.

EM3-12
The system must be able to prepare compensation files, on demand, that meet the requirements and that can be used by accounting software to generate worker payments.

Voter History Information

EM4 -1
The SOTS maintains 10 years of voter history on each voter's record. The history provides information showing the year and election in which the voter voted. The voter history shows if a voter voted in-person at a precinct polling place, voted an absentee ballot, or voted at an election day registration or early ballot location.

The system must be able to maintain, at a minimum, 10 years of voter history in a mm/dd/yyyy format. The history must reflect the election name and/or election ID and the type of voter activity (in-person, absentee, early).

When viewing a voter's record, the system must provide a clear and convenient method for users to view the voter's voter history. In addition, the system must be able to include voter history information on both printed and electronically generated voter reports.

EM4-2
Voter history needs to be added to voter records when official voter lists are processed and when a voted absentee, early or election day ballot is added to a voter's record.

The system must provide users with the ability to update voter history for an election through (a) typing the voter's voter ID number into a data entry screen, (b) scanning bar code data from official voter lists or absentee ballot envelopes, and (c) uploading an electronic precinct register (electronic pollbook).

The system must allow users to enter voter history manually on an individual voter record and, for official registry history, through an "all-in-one" type screen where the voter records appearing on each page of the screen match the order of names appearing on each page of the precinct register.

EM4-3
The system must have the ability to automatically add voter history to a voter record when a voter's voted absentee, early or election day ballot is added to the voter record.

EM4-4
The system must automatically check for existing voter history, in the same election, when voter history is recorded during an election. For instance, when an absentee, early or election day ballot is recorded on a voter record, the system must check to ensure that another ballot has not already been recorded and if it has, alert the user that the voter already has voter history and the type of history (i.e., polling, absentee, early or election day) for the election.

EM4-5
When adding voter history from official voter lists, if a voter's record is flagged as needing proof of identification, the system must have the ability to automatically remove the identification flag if history is provided from a precinct register.

EM4-6
The system must have the ability to generate a report, statewide, by house/senate/congressional district or by municipality, that lists all voters who voted more than one time in a specific election based on voter history. The report must provide enough information for users to know specific information about the duplicate voting (i.e., district/precinct number of registers from where history was provided, district and sequence number of absentee, election day or early ballot, district/precinct of ballot).

EM4-7

In the event that voter history was erroneously added to the incorrect voter record, the system must provide a clear and convenient method for users to remove voter history for a specific election on a voter record.

EM4-8
The system must have the ability to produce electronic official voter lists that will interface with electronic pollbooks and that allows automated processing of voter history for those precincts using electronic pollbooks, including the ability to update voter history "real-time" from pollbook interface.

EM5 Reports

EM5-1
The system must have the ability to produce a SOTS-defined report showing the contests and candidates entered for a specific election. The report must be available in paper, electronic, and HTML formats and must include the contest name and candidates.

Users must have the ability to print the candidates for a specific contest or for all contests included in the election. If producing a statewide candidate list, the system must produce the list of candidates in contest order (i.e., statewide contests, Senate District A, B, etc, and House District 1, 2, 3, etc.) Users must have the ability to select if ballot questions are to appear on the report.

EM5-2
The system must have the ability to produce a report of polling place locations. The report must be available in printed, ASCII text and HTML formats. When ordering the reports, users must have the ability to request all polling locations or just specific types (polling, absentee). The printed report must contain the district/precinct number, precinct name, polling location and polling address.

Users must have the ability to produce the report statewide, by house/senate/congressional district or by municipality.

EM5-3
The system must have the ability to produce a polling place assignment report for a specific election ID. The report must be available in printed and ASCII text formats. Users must have the ability to produce the report statewide, by house/senate/congressional district or by municipality. The report must include:

- district/precinct number;
- precinct name;
- polling place name;
- polling place address;
- vendor number;
- pay indicator;

- sent/received date of recruitment notice;
- owner name;
- owner address;
- contact name and telephone number;
- owner telephone number;
- owner fax number; and
- comment field

EM5-4
The system must have the ability to produce, in paper and ASCII text format, an election worker availability report. The report would list the names and contact information of individuals who have expressed an interest in being an election worker but who have not been assigned to the election. The user must have the ability to print the report by house district or town.

EM5-5
The system must have the ability to produce, in paper and ASCII text format, a report showing election worker assignments for a specific election ID. Users must have the ability to produce the report statewide, by district or by municipality. The report must include:
- district/precinct number, precinct name and polling place name;
- voter ID number of election worker (with ability to suppress);
- election worker name;
- election worker contact information (mailing address, telephone number, email);
- election worker's political affiliation;
- district/precinct assigned to worker's voter record;
- position assigned;
- election worker vendor number; and
- sent/received date of recruitment notice.

EM5-6
The system must have the ability to view and/or print a list of all elections worked, including the position, for an individual election worker.
EM5-7
The system must have the ability to produce a report showing those voters who have voted more than one time in a specific election ID. For instance, if a voter received voter history from a processed precinct register and also voted an absentee or election day ballot.

The report must provide the voter ID number, voter name, district/precinct number where the ballot was voted, district/precinct number where the voter is registered as well as information relating to the type of ballot voted (in-person at polls, absentee, early or election day), the district of the ballot voted and for absentee, early or election day, the ballot sequence number. The report must provide the total number of voters who voted more than once by type of ballot voted. (i.e. Total

Absentee Duplicates Reported = 27; Total In-Person Duplicated Reported = 10) Users must be able to produce the report statewide, by house district or by municipality.

Users must be able to produce the report statewide, by house/senate/congressional district or by town.

Absentee, Early and Questioned Ballot Voting Requirements

Processing Absentee Ballot Applications and Generating Absentee Records

AV1-1

Instead of voting in-person at a polling location, a voter may apply to receive an absentee ballot. Connecticut law allows a person to register and/or update their voter registration record at the same time as applying for a ballot. When applying for an absentee ballot, some voters may request a ballot for all elections in the calendar year or may request a ballot for specific elections (Primary Election, General Election, or Special Election). It is not uncommon, during Presidential elections, for municipalities to receive and process hundreds of absentee ballot applications in a short time frame.

The system must provide a solution that will allow the municipality to manage and process absentee ballot applications for by-mail and electronic ballots.

The system must also provide a solution that will allow the SOTS and municipalities to generate absentee records, multiple times for a specific election, for those individuals who have applied for a ballot so the municipalities can transmit ballots to voters and keep track of those voters who have been sent a ballot following the requirements outlined in Connecticut Statutes, UOCAVA and the Military and Overseas Voter Empowerment Act (MOVE).

As part of the solution, the system must allow for the use of standard, SOTS and municipal defined designations for the following:

- ballot type (i.e., mail, electronic, FWAB, etc);
- application status (i.e., complete, incomplete with reason);
- primary ballot type (i.e., Republican, Democratic,); and
- voted ballot accept and reject codes.

AV1-2

Since a voter may use a single application to request ballots for multiple elections within the calendar year, the solution provided must be able to maintain multiple election categories. The categories will define which elections voters will be sent a ballot. The categories will be, at a minimum,:

- all elections in calendar year;
- primary election;
- general election ;

- primary and general election;
- referendum and
- special election

If a state-conducted special election is held, any applicant who is in the “all in calendar year” category will be eligible to receive an absentee ballot.

When processing absentee ballot applications, the system must have a solution that will allow the user to indicate the election the application is being processed for.

For those voters who apply for a ballot for “all in calendar year”, the system must provide a solution that will populate the absentee record in the current year Primary and General election ID and any other election IDs created where the voter is eligible to participate.

AV1-3
Since voters can only apply for an absentee ballot in the calendar year of the election, the system must not allow a user to enter an absentee ballot application prior to January 1st of the calendar year for elections in that year.

AV1-4
Currently when processing absentee ballot applications, staff must perform data entry in two separate subsystems for each application; first the application is processed in the voter registration system to update necessary information on the voter record, and then the application is processed in the absentee subsystem to enter the application information. Performing data entry in two separate systems for a single application is time consuming and cumbersome.

The SOTS envisions a system that would migrate information (as determined by the SOTS) from a voter’s record into the absentee voting subsystem and allow users to update any voter registration record data directly from the absentee subsystem in the same manner as they would from the voter registration subsystem. Furthermore, when processing absentee applications, the SOTS envisions a system that will allow the type of application submitted from the voter to be selected from a “drop-down” field in the processing screen.

In addition to allowing standard voter registration record data to be updated and the type of submitted application to be selected, the system must allow users to add specific information about the absentee ballot application. The following must be available to add or update:
- ballot mailing address (formatted like voter mailing);
- ballot email address;
- primary ballot choice;
- military indicator;
- overseas indicator;

- permanent absentee indicator;
- date application is received;
- ballot type; and
- application status.

In addition to the above fields, the SOTS envisions a system that would allow users to enter free-form comments relating to an absentee application to enable staff to track communications and other events with specific absentee voters.

AV1-5
When applying for a ballot, a voter may select to have the ballot mailed to the voter's permanent mailing address as reflected on the voter's registration record or the voter may supply a new ballot mailing address.

When generating absentee records, the system must default to the voter record mailing address unless there is a separate address entered for ballot mailing address on the absentee record.

If there is a separate ballot mailing address, the system shall not migrate the ballot mailing address to the voter registration record.

Once the absentee record is created for a specific election, if the voter record mailing address is used as the ballot mailing address, the system shall prevent the ballot mailing address from being updated with a change made to the voter record mailing address.

AV1-6
When processing applications, the system must alert the user if the voter is not eligible for the Primary ballot choice entered based on the voter's political party affiliation reflected on the voter's registration record. For instance, if the voter is registered with a political affiliation of Democrat and requests a Republican Primary ballot, the user must be alerted that the voter is not eligible to select the Republican ballot. Likewise, if the voter has switched political parties and is still in a three month wait period, the system must alert the user that the voter is not eligible.

AV1-7
The system must include a solution that will generate absentee records for those voters who have applied for a ballot. When generating absentee records for a specific election ID, the system must be able to:
- generate records multiple times for same election id (each time generating records, the system will include only those voters who have not previously had an absentee record generated for same election id);
- generate records by "ballot type" (i.e., by-mail, electronic);
- generate records for certain types of voters only (i.e., those requiring proof of id, military or overseas);

- populate the ballot sent date on each record generated as designated by user (date must be current date or greater);
- populate the district/precinct of the ballot issued on each record generated (based on the district/precinct of the voter record at the time the absentee record is generated); and
- produce report of the absentee records generated, both paper and electronic (ASCII text, delimited and fixed width), as defined by the SOTS for use to send each voter a ballot.

The system must allow for the records to be generated through a batch process or by individual voter record.

If a voter applies for an absentee ballot, but then record is inactivated prior to a ballot being sent, the system should automatically cancel the ballot application.

AV1-8
Once an absentee record is generated and a ballot is sent, it is not uncommon for the municipality to receive a ballot back as undeliverable or to receive communication from the voter indicating they want a different Primary ballot type or that the voter didn't receive the first ballot and needs a second ballot sent.

For those ballots that are returned as undeliverable, the system must allow a user to indicate on the absentee record that the ballot was returned undeliverable.

For those ballots where the voter indicates they want a different ballot type or who needs another ballot issued, the system must provide a method that will allow a user to cancel a sent ballot and re-issue a replacement ballot and maintain a record of the issuance of an additional ballot.
If a user is re-issuing a ballot, the system must alert the user if a voted ballot for the same election ID has already been recorded on the voter's record.

AV1-9
The system must be capable of interfacing with an electronic balloting web-based application that allows ballots to be applied for and transmitted electronically. The interaction between the software and the state are performed through web browsers accessing the application through HTTPS protocol.

Currently, the SOTS-defined export in a pre-determined ASCII text format that is uploaded by SOTS staff to the on-line absentee voting look up tool.

The SOTS envisions a system that will streamline the process for daily transfers of data on who applied for an on-line ballot to the web-based application.

AV1-10
The system must allow a voter to be flagged as a permanent absentee voter. Once flagged, the system must have a solution that will bring permanent absentee voters

into the absentee file. The system must also produce reports, as defined by the SOTS, of the names of permanent absentee voters.

AV1-11
Often, voters will submit more than one absentee ballot application. The system must allow a user to view on screen, all election ID's that a voter has been assigned, as well as see if the voter is included in the "all elections in the calendar year" category.

Processing Voted Absentee Ballots

AV2-1
Voters may receive and vote an absentee ballot in various ways. Only by mail and electronic ballots must be applied for prior to receiving. After voting an absentee ballot, the ballot is returned to the municipality.

When voted absentee ballots are received by the municipality, the various offices enter the voted ballots as received into the voter registration database for the corresponding election ID. The voted ballots are entered by district, in date order by date received, and automatically assigned a sequence number. The sequence number increments each time a voted ballot is entered in the district. Once the ballot is entered on a voter's record, the voter is given voter history for the election.

The system must provide a solution that will allow users to process voted absentee ballots in groups or batches. Each time a group of ballots is being processed, the system must require the user to enter the election ID and date for which the ballots are being processed. Based on the information, the system must prevent the processing of ballots for a district not associated with the municipality. For instance, if House Districts 1-5 are associated with Hartford, when processing ballots, the system must prevent Hartford from processing ballots for districts 6-40.

The election ID must carry forward to the input screen so the user can easily discern the election in which they are processing ballots.

AV2-2
The system must migrate required information from the voter registration record to the absentee ballot input screen. Types of information that will be required are:

- status/condition (reason) code;
- name;
- residence address;
- mailing address;
- identifiers (voter number, last-4 SSN, dob, driver's license);
- dates (registration, original registration, privilege date (for party));
- political affiliation;
- house/senate/congressional district and precinct;
- local; and
- special districts.

In the event that a non-registered voter votes an absentee in person, the system must provide a solution that will allow a user to enter a voter registration record in order to process and enter the required information for the ballot. Any new records added in this manner will be assigned a voter ID number and will automatically be added to the system in an Inactive status with a condition that the local registrar of voters approve such application.

AV2-3
When processing a voted ballot on an individual voter record, the system must have the following input fields:

- accept and reject code;
- type (code for type of absentee ballot voted);
- district (based on ballot voted, carried forward from information entered for group);
- location ballot issued; and
- date ballot received (carried forward from information entered for group).

For by mail and electronic ballots, the Type, District and Location will carry forward based on the information entered when processing the absentee ballot application and the system must allow a user to override this information, without it affecting the application record, in the event the voter returned a different type of ballot (i.e., voted in person through an official instead of returning by mail ballot).

The system must prevent a voted ballot from being processed on a record without the above information. In addition, the system must allow accept and reject codes to be modified once a ballot has been transmitted in case staff made an error in assigning a code.

AV2-4
Each time a voted ballot is processed and assigned an accept or reject code, the system must assign a sequence number to the processed ballot once the record is transmitted. The sequence number must be based on the district of the ballot processed and increment each time a ballot for the district is transmitted.

Once assigned, the user must be able to view the sequence number on screen to record on the ballot envelope.

AV2-5
The system must allow for multiple entries on an absentee record.

For example, there could also be an instance where a voter applied for a by mail ballot, voted and returned it, and then also voted an absentee ballot in person through an official. Both ballots would need to be processed in the system.

AV2-6

Once a voted ballot is transmitted, the system must update the voter history on the voter's registration record.

AV2-7
In the event that a voted ballot was incorrectly processed on a voter's record, the system must provide a solution that will allow the ballot to be deleted even though it has been assigned an accept/reject code and sequence number. Once deleted, the system will remove the voter history.

The system must maintain accountability of all deleted ballots and the associated sequence number. (The sequence number is maintained with the deleted ballot)

Deleted ballots must not be included in the totals on ballot count reports but the total number of deleted ballots in a district will be indicated on the count report.

AV2-8
When processing voted absentee ballots, the system must provide for the following warning messages if, while entering a voted ballot, the voter:

- has already been assigned voter history for the same election id. (absentee, early, election day, or in-person from the precinct register);
- is not 18 years of age;
- has an inactive status on voter record;
- registration date is after the registration deadline; and
- is registered in a different district than the ballot being processed if the ballot is assigned an accept code.

Processing Early Ballots
Connecticut does not currently have an early ballot system; however, the newly created system should be able to process these ballots when the system is implemented and should be part of responses to contractor solutioning

AV3-1
Early voting is differentiated from absentee voting by the fact that the voter's ballot is immediately processed on the voter record at the time the voter votes.

Early voting is allowed only during Primary and General elections and only in certain locations.

The system must provide a solution that will allow the municipality to process early voted ballots for a Primary and General election and limit early voting to certain locations (town offices).

AV3-2
When processing early voters, the system must require the user to enter the election ID and early voting location before processing voters.

AV3-3
The system must allow the user to search for the voter record and must migrate required information from the voter record to the early voting screen. The information that must migrate is as follows:

- status/condition (reason) code;
- name;
- residence address;
- identifiers (voter number, last-4 SSN, dob, driver's license);
- dates (registration, original registration, privilege date (party affiliation));
- political affiliation; and
- district and precinct.

The election ID will carry forward based on the ID entered at the beginning of processing early voters.

The system must alert the user if the voter record has been flagged for Proof of Identity, if the record is inactive or if the voter is registered in a district that is not eligible for early voting at the designated location.

AV3-4
The system must include a solution that will allow the issuance of early vote ballot by district, assign a sequence number (by district) and allow staff to print the record as an "early vote" certificate. The house/senate/congressional district must match the district of the voter's registration record and the sequence number must become permanent upon transmittal of the early vote record. If the user cancels instead of transmitting, the sequence number is released and may be reassigned to the next early voter in the district.

The system must prevent the crossover of sequence numbers being issued for absentee ballots.

AV3-5
The system must include a solution that will allow the user to generate and print locally an "early voting certificate" which contains the information on the input screen, including the district assigned and pre-assigned sequence number. The system must allow the confidential identifiers to be suppressed when printing the certificate.

This printed certificate is given to the voter to sign for their ballot. Once the voter signs the certificate, the user transmits the early voting record. Once transmitted, the system must update the voter history on the voter's registration record.

AV3-6

In the event that an early voted ballot was processed in error, the system must provide a solution that will allow the user to delete the early voted ballot. Once deleted, the system must remove the associated voter history.

The system must maintain accountability of all deleted ballots and the associated sequence number. (The sequence number is maintained with the deleted ballot) Deleted ballots must not be included in the totals on ballot count reports but the total number of deleted ballots in a district will be indicated on the count report.

AV3-7
The system shall restrict a user from processing an early voted ballot on a voter record under the following circumstances:

- voter's status is inactive;
- voter's district registration date is after the registration deadline;
- voter already has voter history for same election id;
- voter is not 18; and
- voter is not registered in the district associated to the municipality and site processing early vote ballots.

Absentee Ballot Reports

AV5-1
The system must allow the user to select to print any absentee ballot report in paper or electronic format (ASCII text). In addition, the user must have the ability to select the report to be generated overnight or on demand.

AV5-2
The system must be able to generate a report, as defined by the SOTS, of all absentee ballot applications processed or updated during a specific date range for a specific election ID.

AV5-3
The system must be able to generate a report, as defined by the SOTS, that will enable municipalities to send confirmation notices to absentee ballot applicants notifying them that their application was received and the status of their application (based on ballot type and application status codes).

If the application is accepted, the notice will include which elections they are scheduled to receive ballots for, and other information deemed necessary by the SOTS. If the application is rejected or incomplete, the notice will include the reason and other information deemed necessary by the SOTS.

The system must provide a solution that will prevent absentee applicants from being sent more than one confirmation notice for the same election.

When generating the report, users must have the ability to select all or individual ballot type and application status to generate the report for.

AV5-4
The system must be able to generate a report, with or without confidential information and as defined by the SOTS, of absentee voters for a specific election ID. Reports can be generated for all voters applying for a ballot, for voters with return ballots only, or for both.

When generating the report, users must have the ability to make the following selections:
- jurisdiction for voters appearing on report (town, district or statewide);
- date range (i.e., voters applying from x date to x date or blank for all);
- include ballot type requested, all or only certain types;
- include voter id number and format (voter ID, obscured or ascension #);
- include voter's residence address;
- include fax or email address where ballot is to be sent;
- include accept and reject code for returned ballots; and
- include only those with returned ballots.

This report will be used both internally and given to the public.

AV5-5
The system must have the ability to generate an absentee count report, as defined by the SOTS, for a specific election ID that meets federal reporting requirements and that contains the following type of information:
- number of absentee ballot applications processed, including the type of application;
- number of absentee ballots mailed by type;
- number of absentee ballots sent electronically;
- number of absentee ballots returned as undeliverable;
- number of absentee ballots cancelled; and
- number of voted ballots received by ballot type (mail, electronic, in person, etc.) with breakdown of number of accepted ballots and number of rejected ballots for each ballot type.

When generating the report, users must have the ability to make the following selections:
- jurisdiction of report (town, district or statewide);
- include counts for:
- all voters
- military flagged only
- military and overseas flagged only
- overseas flagged only
- exclude voters flagged as military or overseas; and
- include breakdown of counts by absentee voting location.

AV5-6

The system must have the ability to generate a report, with confidential information and as defined by the SOTS, of absentee voters who have a voted ballot processed for a specific election ID. The report will contain the information necessary to determine the voter's eligibility to vote the ballot.

When generating the report, users must have the ability to make the following selections:

- jurisdiction for voters appearing on report (town, district or statewide);
- date range (ballots received from x date to x date or blank for all);
- sequence number range (blank for all);
- sort by name or sequence number; and
- print voter names or ballot counts only (total accepted, by accept code and total rejected, by reject code).

This report must include the accept or reject code and sequence number assigned to the ballot. After each district, the report must include a total count of absentee ballots, broken out by accept/reject code type. The report must also include a total count, broken out by accept/reject code type, at the end of each district and if generated by town or statewide, a final total of the counts for the jurisdiction selected.

AV5-7

The system must have the ability to generate a report, as defined by the SOTS and for a specific election ID, of absentee voters whose ballot was only "partially" counted or was rejected based on the voter's accept or reject code assigned to the ballot.

When generating the report, users must have the ability to select the following:

- jurisdiction for voters appearing on report (town, district or statewide);
- absentee or questioned; and
- include:
- voters with rejected ballot;
- voters with partial count accept code;
- voters with both reject and partial count.

AV5-8

The system must have the ability to generate a report, as defined by the SOTS and for specific election ID, showing the name and sequence number of early voters. Users must be able to generate the report by district or early voting site ID, with the option to include the voter's ID number.

When generating the report, users must be able to specify a date range and must be given the option to run a "counts" only.

AV5-9

The system must have the ability to generate a report, as defined by the SOTS, that will show ballot count numbers for a specific election in a single report for absentee and early vote ballot totals.

In addition to the actual voted ballot counts, the report must include information needed for federal reporting, as defined by the SOTS, relating to the counts for the number of absentee ballot applications received and the number of ballots sent.

Petition Management Requirements
Petition Administration and Data Management

PM1-1

There are various types of petitions (referendum, candidate nominating and political party primary) circulated throughout Connecticut that can place a ballot measure or a candidate on the ballot if it is signed by the proper number of qualified voters. Depending on type of the petition, there are requirements related to number of voters who sign.

The system must provide a solution that will allow Municipalities and SOTS to:

- manage the petition processes for multiple petitions simultaneously;
- allow multiple users to check petition signatures simultaneously for the same petition or for separate petitions;
- produce statistical reports showing the number of accepted and rejected (with breakdown by reason for reject) signatures processed to date on an individual petition, including a breakdown of the number of accepted signatures in each house district if petition is set up as initiative or referendum;
- to denote or “mark” an unlimited number of voter records as having been accepted or rejected as a signer of a petition;
- to view on the voter record each petition a voter has signed.

PM1-2

There must be a full-featured system for setting up petitions, consistent with Connecticut Statutes, that allows for the following:

- petition id (alpha numeric) and text description of the petition name;
- petition status (active or inactive);
- petition type (referendum, nominating, primary, other);
- petition applicant contact information (name, address, email, telephone numbers for three members);
- date application received;
- date application approved;
- date signed petitions received from sponsors;
- date petitions must be received;
- date petition certified;
- jurisdiction for signatures (statewide, house district, senate district, congressional district, local district, special district);
- number of signatures required and number of votes cast for jurisdiction in previous general election;

- candidate name, address, email, telephone, office
- office sought
- comment field (free-form text).

PM1-3
The system must have a clear and convenient method for users to:
- designate if an individual petition page is accepted or rejected;
- if page is rejected, allow user to designate a SOTS-defined reject code; and
- if page is rejected, the system shall allow signers to be entered but must not include signers of the page as qualified signers in petition statistical reports until such a time when the page is marked as accepted.

The system must allow users to add page information in any order at any time and allow users to view and/or print a list of petition circulators for a specific petition ID.

PM1-4
When processing signatures for petitions, if the signature is rejected, the SOTS needs to maintain a record of the reason for the rejected signatures.

The system must allow for the setup and maintenance of signature accept/reject reasons by authorized SOTS staff and must provide the ability for authorized users to add, modify and delete codes associated with accepting or rejecting a sponsor and/or signer signature.

PM1-5
When all processing for a specific petition is finished, the system must allow an authorized user to mark the petition as complete.

Typically, once a petition is complete, the SOTS would not want any records pertaining specifically to that petition, such as assignment of pages or indication that a voter signed the petition, to be added, modified or deleted; however, in the event of a court order, the SOTS may be required to process further pages and/or signatures or include pages/signatures that were previously marked as rejected.

The system must have a feature that would:
- allow an authorized user to change the status of a completed petition so further processing can be performed if necessary; and
- prevent an unauthorized user from modifying, adding, or deleting records associated with a completed petition.

PM1-6
The system shall provide an authorized person with system administrator or database administrator privileges with the capability to perform the following tasks:
- delete a petition and associated data for a petition from the database; and
- remove the records of a petition from the database and archive the information from that petition to media external to the database.

The petition archival process shall not include history data that is attached to an individual voter. Individual voter data archival shall be a separate function.

Petition Signature Verification

PM2-1
In order to determine if the petition meets statutory requirements, the user must check each signature on the petition to determine if the petition is signed by the required number of registered voters.

The system must provide for a convenient and efficient method for users to process an unlimited number of signatures on a filed petition. The system must provide the designation and tracking of voter signatures on a petition in a manner consistent with Connecticut statutes and in a format designated by the SOTS.

The system must migrate SOTS-defined information from the voter registration record to the petition module and allow users to view information from registered voter records when processing signatures.

PM2-2
The system must include a solution that will begin the signature verification process by entering the petition ID, page and line number.

For each subsequent signature, the system shall advance to the next signature line on the page number being processed. If the line number has a crossed-out signature or is blank, the system shall allow the user to skip that line and advance to the next line number with a signature.

PM2-3
The system must allow a user to exit from the petition page number being processed and select another petition page or line number at any time.

PM2-4
When entering petition signers, the system must have a solution that will allow users to enter specific SOTS-defined information about each signer, including the date the petition was signed and then the system will determine if there is a voter record that matches the specific entered information.

If an active voter record is found, the system must compare the voter's original registration date to the date the voter signed the petition and if the voter was registered on or before the signature date, mark the voter record as accepted.

If the voter record is not found or the voter was registered after the signature date, the system must mark the voter record as rejected.

If a voter record is found and the voter is in an inactive status, depending upon the suspense date and the condition code (reason code) will determine if the signature

is accepted or rejected as defined by the SOTS. The system must provide a solution for the SOTS to review and if necessary, change rejected or accepted records.

In addition, if a voter record is found, the system must compare the date the voter signed the petition with the date the pages were distributed and received and if the date falls before or after the distribute and receive dates, the system must notify the user of the discrepancy.

Once a voter record is marked as accepted or rejected, the system must allow a user to change the accept or reject code attached to the signature. If a signature is rejected, the system must allow a user to indicate the reason for each rejection.

PM2-5
The system must record in a registered voter's record that the voter signed a particular petition, including the petition, page and line number of the voter's signature and allow users to view, from the voter record, the petition information.

PM2-6
The system must be able to determine if a voter signed the same petition more than one time and if so, alert the user doing data entry and reject the subsequent entered signature(s) as duplicate. If a signature is rejected as duplicate, the system must not record the petition, page and line number on the voter's record.

PM2-7
The system must have a convenient solution to remove, at any time, a designation that a voter has signed a petition. If removed, the system must not include the signature in the count of registered voters signing the petition.

Petition Statistics and Reports

PM3-1
The system shall provide authorized users with the ability to prepare printed reports and export files containing petition signature verification statistics.
The system shall provide authorized users with the ability to display and print complete forms and other petition reports for editing and to generate a results report for each petition.

PM3-2
The system shall allow authorized users to generate a printed report on demand from the petition management subsystem that contains the unique identifier numbers of each petition or petition application pages for a specific petition, the number of pages for each petition or the number of application pages, and the number of entries on each page. Authorized users will use this report to proof against the actual pages or application pages in order to assure the accuracy of the data entered. The system shall allow for confidential identifiers to be included or excluded, based on the user's preference. The printed report shall be able to

include any or all relevant voter registration and petition management information deemed necessary by the SOTS of Elections.

In the event the proofing operations reveal changes that need to be made in the database, the system shall allow authorized users to modify, correct, and update the petition or application page data as necessary and to print subsequent printed reports for proofing as required.
The system shall provide generation of these proofing reports and update of the database in a manner consistent with Connecticut statutes and rules and in a format designated by the SOTS of Elections.

PM3-3
The system shall provide the ability for an authorized user to generate a statistical report indicating how many accepted and rejected signatures from either a user-defined "sample" or on the entire petition or petition application that have been tallied at the time of generating the report. The generated report shall be of such accuracy that the SOTS of Elections can make a determination if a sufficient number of signatures have been affixed to petitions to authorize placement of the issue on an election ballot or for certification of the application.

The report shall indicate and display a "key" of all petition signature accept and reject codes and a brief description of their meanings. The report shall list a breakdown of how many signatures were designated with each code.

The system shall provide for preparation of such statistical reports in a manner consistent with Connecticut statutes and rules and in a format designated by the SOTS of Elections.

PM3-4
The system shall provide the ability for an authorized user to generate a report containing information on all registered voters who were identified as having signed a petition or petition application (whether the signatures were verified and accepted by the SOTS of Elections as having signed any petition that is undergoing the verification process). The report shall include the following:

- voter's confidential identifiers (with ability to suppress);
- voter's full name;
- voter's residence (with ability to suppress) and mailing address;
- voter's original registration date;
- voter's registration status;
- status of signature (accept or reject code); and
- petition, page, line number of voter's signature.

This report shall also include any voter who signed the petition and could not be identified as a registered voter. The information reported for these signers shall include:

- full name;

- residence and mailing address; and
- status of signature (accept or reject code).

The system shall provide for preparation of such a report in a manner consistent with Connecticut statutes and rules and in a format designated by the SOTS.

PM3-5
The system shall provide authorized users functionality to generate a report on the number of petition signatures that have been verified by all petition staff within a specified date range. The "date range" shall include a default value of "today" meaning the time from 12:01 a.m. until the time the authorized user executed the report generation command.

For example, if the authorized user executes the report generation command at 09:56 p.m. on September 25th, the application will print the report automatically containing the name of every petition staff and the number of registered voters whom they have verified and indicated an acceptance or rejection of a petition signature since 12:01 a.m. on September 25th.

However, the system shall provide the functionality for the user to select a different starting date and time (for example, September 01 at 08:00 a.m.) and a different ending date and time (for example, September 01 at 09:56 p.m.) for the report parameters.

The system shall provide for preparation of such a report in a manner consistent with Connecticut statutes and rules and in a format designated by the SOTS.

PM3-6
The system shall provide the ability for authorized users to generate a report, on demand, containing the following information for; all circulators of any petition(s), a specified circulator of any petition(s), all circulators of a specified petition or a specified circulator of a specific petition submitted to the SOTS. The report shall contain the following:
- voter number (if circulator is registered);
- full name;
- residence (with ability to suppress) and mailing address;
- id of petition circulated;
- total number of pages submitted, including individual page id numbers;
- total number of accepted signatures contained in submitted pages;
- total number of rejected signatures contained in submitted pages; and
- breakdown of code designation of all accepted or rejected pages, including page id number.

The system shall provide for preparation of such a report in a manner consistent with Connecticut statutes and rules and in a format designated by the SOTS.

System Administration, Security and Data Conversion Requirements

General Requirements and Administration

SA1-1
The system must have the ability to perform real-time processing. Once data is entered and transmitted, it must be updated with all information and available for viewing by all municipalities throughout the state.

All municipal offices must have the ability to enter information into the system and must be able to perform voter registration record updates for any voter in their municipality.

Only officials in a municipality can add or delete or alter records of their own municipality. They shall have only the ability to view records from a different municipality.

The SOTS shall have the ability to login as any municipality at any time at the state level. Specific SOTS personnel with these permissions will be identified during requirement gathering.

SA1-2
The system must have the ability to establish users and security levels based on user types. The system administrator must have the ability to add users at any time.

SA1-3
The system must be maintained using industry standard configuration management and quality assurance policy and practices.

SA1-4
Authorized users must have the ability to add, modify and delete data elements in “lookup tables” used by the system and the database management system.

This should be restricted to tables that contain values to be stored in the database only and not containing values used in internal system program logic.

SA1-5
The proposal will include a comprehensive back-up and recovery solution, which will include, but is not limited to, a “point in time” recovery process for logged transactions.

SA1-6
The system shall offer self-sensing and reporting of component state, errors, load, intrusion and resource limitations.

In addition, the system must provide the ability for the system administrator to read, search, copy and print system logs that report various system conditions, such as error conditions, system failures, track changes, traffic volume and user usage.

Provide dashboard of key indicators of data anomalies i.e. Significant number of party changes over a set period of time or significant increase or decrease in active voters over a set period of time.

The system administrator must have the ability to maintain and archive the system log information.

The system shall provide the option for access to specified system information by authorized users.

SA1-7
The system must have the ability to schedule various routine activities for automatic execution at specified and recurring dates and times. Examples of such activities include, but are not limited to:

- database backup;
- system backup;
- database compression;
- full database duplicate checks;
- exports of various ASCII text files to FTP site for external distribution, i.e., voter id card extract on the 3rd and 18th of every month; and
- generating, formatting and printing standard and custom reports.

SA1-8
The system shall provide for data archival and retrieval. This functionality should allow for execution of pre-defined periodic archival jobs as well as the ability to select specific records from the address library, election, petition, and voter registration files and move them from the current production tables to an archive file or media external to the database.

When archiving election and petition information, the system must maintain voter history and petition signature history on individual voter records.

Examples of election and petition data removed would be election set-up, polling place and worker assignments, petition set-up, sponsor, circulator and signature verification for specific petition.

SA1-9
The system must provide methods for the identification and approval of records to be archived prior to moving the records into the archive file (manual review).

SA1-10

The system must support storage of null values in data fields where null is an accepted value.

SA1-11
The system shall provide the SOTS with a clearly defined and documented approach to managing voter registration and election management records and workflow in a manner that meets operational and legal requirements outlined in Connecticut statutes, HAVA, NVRA and UOCAVA.

When installed and operational, the system must be in complete compliance with all relevant data collection, data management, data maintenance and data reporting requirements of Connecticut election laws as they exist at the time of issuance of the RFP.

SA1-12
The system must be able to facilitate the entry of data once and populate the various modules where needed. For example, when a voter registration record is updated, if that voter is also an election worker, the worker record should be updated by the system automatically.

SA1-13
The system shall provide an easy-to-use and flexible capability for database administrators to manage the indexes associated with the underlying database management system.

SA1-14
The vendor shall collaborate with the Bureau of Enterprise Services and Technology (BEST) during the network design phase. BEST is the provider of network services to state agencies.

SA1-15
The vendor will be responsible for the assessing, mapping and understanding of the Connecticut Voter Registration and Election Management legacy system business processes.

The vendor will map differences between their product and the legacy systems in the areas of:
- voter registration;
- precincting/address library;
- election management (As Interface);
- absentee/early/ voting; and
- petition processing.

These findings must be integrated in the training curriculum of the new system.

SA1-16

As part of the project deliverables, the vendor will be expected to deliver XML specifications for the transfer of information for various functions such as:

- ➢ data export;
- ➢ data import from various agencies;
- ➢ data conversion;
- ➢ election results; and
- ➢ interfacing with voting equipment.

The XML specifications created must be compliant with all current XML specifications and standards. They must use XML approved techniques to supply security and ensure that transfers originate from the appropriate agencies.
XML specification requirements are:

- ➢ they must conform to latest approved W3C XML specifications at the time presented;
- ➢ XML design must be well formed and able to be validated;
- ➢ XML schema will be produced and published;
- ➢ it will use XML encryption and XML signature to ensure a secure transfer of information; and
- ➢ use XML query for information requests, permitting selective data sets.

The goal of this XML is to simplify the movement of data between many systems that will coexist in the HAVA mandated environment and to interface with other state agency systems. Since each of these systems have their own operational development life cycles, it is hoped that the XML specification would remain a constant reference that accommodates the changes systems will encounter over coming years.

User Interface and Documentation

SA2-1
The system must allow a user to access the various modules (geographic entities, voters, election management, absentee voting, petitions, and system administration) without having to exit current work being performed. For example, if a user is updating a voter record, and needs to look at information in geographic entities, the user must be able to go to this module without having to close the voter record.

This requirement may be met by allowing a single user to have multiple sessions of the system open at the same time.

SA2-2
The system shall allow specific users with specific roles and permissions to 1) add users, 2) change the user password, 3) change desktop settings, and 4) change search options.

For example, the user may want to search for voter records by using a minimal amount of data or by using several data fields.

SA2-3
The system must have the ability to provide users with warning, informational and notice messages, including the ability to provide a broadcast capability to notify users of important information when the user logs into the system.

The user should be able to access Help function to obtain further instructions related to a message being displayed.

SA2-4
The system must have an online, indexed “help” capability to assist users and administrators in finding information relative to the system and applications functions and operations.

All online documentation shall be resident on the SOTS’s servers and/or client workstations. This means that documentation shall not be resident on the vendor’s website and shall not require Connecticut’s users, including technical administrators, to access a website or web server other than the SOTS’s server, in order to load, review, print or otherwise use any online documentation provided by the vendor.

SA2-5
All system required software must be operationally compatible and fully functional with other common desktop applications (word processing, email, spreadsheet, and database applications.)

In particular, the system must be operationally compatible with the most up to date and currently supported software, and must allow the user to concurrently load desktop suite software and the system and allow the user to “select” and “copy” information from the system and “paste” the information into the open desktop suite software.

The system must not adversely impact the operation of the concurrently loaded desktop software and shall not require a reboot of the client workstation in order to leave or deactivate a session of the vendor software and open or activate a session in one of the common desktop applications.

SA2-6
The system shall use dropdown menus, icons and/or shortcut keys to navigate to the desired application function.

SA2-7

The system shall allow the use of drop-down lists that are populated from values in a database table. These table values should be updatable by appropriately authorized users. The drop-down selection feature should allow selection of a value by clicking the value or allow typing of the value with type-ahead capability (field is populated with next table entry that matches the letters that have been typed). When a table value is to be deleted, the system should notify the user when database records contain the value to be deleted and disallow the change unless overridden by an appropriately authorized user.

SA2-8
The system must provide standard data entry edit checking and automatic data formatting. In addition, the system must allow for the entry of non-case sensitive criteria. For example, to search for a last name of “McDaniel” the user must be able to enter “mcdaniel”.

SA2-9
The system’s screen navigation must meet Connecticut’s data entry needs. For example, it should include the following:

- support positional cursor control so that the cursor will automatically position at the first logical field for data entry;
- when moving through data entry, a user should not have to tab through display only fields. When tabbing, display only fields would be automatically skipped;
- for SSN field on voter records and election workers, the cursor should position at the beginning of the SSN; and
- the screen layout for data entry should match the data form layout. For example, when navigating through the data entry screen for voter registration, the screen navigation would match the flow of the voter registration application so that users can quickly and efficiently enter the appropriate data.

SA2-10
The system should allow default values to be specified and carried forward from record to record in data fields. This applies to either manual entry or a file load.

For manual entry, the specified values (also referred to as “sticky” values) shouldn’t change from record to record unless the operator changes the value at some point. Once changed, the new value then becomes the “sticky” value. For instance, voted absentee ballots are entered by district and in date order. If the user was entering ballots for district 13 that were received 8/25/2010, the date the ballot was received could be a “sticky” value so that the user doesn’t have to enter the date for every ballot in the batch.

For auto batch load, the system shall allow the operator to pre-set the default values.

SA2-11

The system must have the ability to provide users with clear and useful error messages. Error message notification must be both visual and audio with the user having the option to suppress the audio.
An example of an audio response is a “beep” sound.

SA2-12
The system must be able to accurately display the current NVRA status (known as status and condition code) of each registered voter on as many relevant display screens as practical, including but not limited to:

- voter registration data entry and record viewing screens;
- absentee voting screens;
- absentee, early and questioned ballot processing screens;
- election worker screens; and
- voter history screens.

In addition to displaying the NVRA status, the system must be capable of displaying a color-coded background that distinguishes inactive voter records from active voter records. For instance, active records all one-color background and inactive a different color background.

SA2-13
The vendor shall agree to provide documentation of the results of performance, load, integration, and system testing.

SA2-14
The vendor must utilize a full-scale testing strategy, including the development of Connecticut specific test cases and test data that is an accurate representation of production data and processes.

SA2-15
The system documentation provided by the vendor must contain sufficient database schematic documentation to identify all of the lookup tables and a description of all lookup tables. A data model, including all data elements, logical relationships and a diagram shall also be provided.

SA2-16
The vendor must provide a complete set of (a) technical documentation, (b) database and application documentation and (c) end user documentation. This documentation will be considered as an integral part of the software solution. A printed version must be provided and distributed to each SOTS office.

Configuration, Sizing and Performance

SA3-1

The system must be compatible with the most up to date and currently supported operating system currently being utilized by the SOTS.

The SOTS envisions an architecture with the system being based on database management systems and that utilizes server software that includes a recent release of an industry standard, enterprise-grade operating system.

SA3-2
The vendor shall provide a network design that is compatible with the state's network. This design shall be approved by SOTS and BEST (Bureau of Enterprise Systems and Information Technology) network administrators. This design document will include at a minimum the following elements:

- the maximum offered and accepted load provided by past implementations for client and server-side network interface;
- the recommended bandwidth for client and server-side network interface;
- the maximum acceptable latency for client and server application

SA3-3
The system must provide for load balancing and fault tolerance distributed over multiple servers. (High Availability)

SA3-4
The system software must support local desktop printing, scanning, print to fax and print to file functions for reports and other printed output.

Since the SOTS utilizes a variety of printers and scanners, the system must support existing printers to the degree they are the most currently supported and up to date software.

SA3-5
The system shall allow stored images to be exported in a non-proprietary file format.

SA3-6
The system will detect and log all program exception handling; including exceptions to system calls, performance exceptions (such as unanswered remote procedure calls), and security related exceptions (such as repetitious invalid passwords).

SA3-7
The vendor shall provide and execute a multi-environment system that accommodates separate environments for production and development/testing.

The configuration shall allow a particular system component to exist in both the production and testing versions:

The vendor's proposal shall include all software licenses required to make fully operational this multi-tiered environment.

SA3-8
The system must provide a high level of availability. Regularly scheduled down time must not exceed 4 hours per day (after 12am) for maintenance. Higher availability may be needed during peak election periods.

SA3-9
The system must have scalability for a potential expansion of up to 50% of the number of users.

SA3-10
The system must have the ability to store and manage all information (data and images) for up to ten million voters (active and inactive).

Security

SA4-1
The vendor shall develop and document a security plan that meets or exceeds Connecticut standards. The State Chief Computer Security Officer and/or Agency Information Technology Manager shall approve the said security plan before final designs are accepted.

In addition, the vendor shall assist and participate in the development of a clear, enforceable security policy for the system with input from SOTS of Elections and BEST staff.

SA4-2
The system shall comply with all Connecticut Security Policies and Directives, to include, but not limited to current and proposed; Patch Management, Zero-Day Protection, Anti-virus, Accountability, Authenticated Encryption, Auditing, Logging, Vulnerability Assessments, Incident Reporting and Security Monitoring.

SA4-3
The system shall have a clearly defined network architecture that access between components. This shall include separation of internal interfaces, systems or processes from externally exposed interfaces, systems, or processes. Any privileges based on network location must be made explicit in the security evaluation (SA4-11). The vendors system must be able to work when isolated

from the SOTS of Elections interfaces, systems or processes, and other State of Connecticut Departments or SOTSs interfaces, systems, or processes.

The overall system architecture shall include a separate DMZ for proxy servers in which firewalls separate the external environment from the DMZ and internal components from the DMZ.

SA4-4
The system shall comply with the standards for securing servers and services defined in the NIST 800 Series documentation and shall utilize the security benchmark tools found at http://www.cisecurity.org/ for establishing basic security levels.

For all design decisions, the vendor shall articulate alternatives, residual risk, and how this risk will be managed by technical and/or process mechanisms. The vendor shall support use of best practice with references such as the NIST 800 series documents.

SA4-5
The system shall provide secure communication mechanisms between all system components and users interfacing with the system. This must include mechanisms for clients to verify the identity of any service components.

SA4-6
The system shall rely on the Statewide Active Directory (AD) server for all back-end service accounts and administrative accounts.

SA4-7
The system shall provide detailed security logging that includes successful and unsuccessful authentication to all systems or services and must be able to prevent unauthorized attempts, log all attempts and unauthorized procedures by system users.

The vendor will provide clear documentation on what is and is not logged and under what conditions (if any) what private data is logged.

SA4-8
The system shall provide database security management capability that allows for the following features:
- at least two individuals, identified by the SOTS as the system administrators,
- prevents circumventing the application software in such a manner as to gain unauthorized access to the underlying database.

The vendor will be responsible for specifying and implementing this capability during the project implementation.

SA4-9
Currently, the SOTS has users that have full access to view, add, modify, and delete information in various modules, while other users have limited access and/or “read-only” access to certain modules.

The software must allow the system administrator to establish fine-grained access control on the files, tables and/or modules levels.

The SOTS expects the system to provide system/security administrators the capability to establish and maintain security and access controls for individuals and groups as well as for the statewide election user.

SA4-10
The system must be able to set limitation duration for authentication credentials and to expire/lock accounts. Additionally, the system should be flexible with respect to specifying authentication complexity and multiple authentication factors.

SA4-11
The vendor must deliver a full internal evaluation of overall system security. Such an evaluation will include:

- Considered threat and/or adversarial model including assumptions made on attacker capability.
- Description of overall system design and security controls and how they ensure the system will operate under an attack.
- Known security weaknesses of the system either internally generated or through engagement with a third party. This must include either mitigation strategies or a description of why a mitigation would adversely impact some other desideratum.
- A description of individuals that have elevated privileges in the system. Description of risk mitigations for these individuals.
- Any security controls that are managed by a third party (such as a cloud provider).
- A clear description of the vendor’s supply chain including subcontractors and what processes are used to minimize.
- Articulation of what information is assumed public and what is assumed to be private.
- Articulation about what information must be kept private for the system to operate as expected.

SA4-12
The vendor must minimize their access rights after the application has been delivered and accepted by SOTS. The vendor must document any residual capabilities and elevated access by SOTS personnel.

SA4-13
The vendor will establish a process for updating the system should new security information become available. The vendor will minimize the security impact of this process. In addition, this plan will include a disaster plan if the system is fully compromised.

SA4-14
The vendor will provide revision control mechanisms with respect to stored data. Any changes that cannot be reverted must be clearly articulated.

Data Conversion

SA5-1
The vendor will be responsible for developing a data conversion plan and for the conversion of data from the SOTS's existing registration system into the vendor provided new system

Data elements that must be included in the conversion plan include information such as voter registration record information and activity, election management data, address library, precinct and district information, codes and lookup table values.

The vendor's conversion strategy and process must include methods for the conversion and migration of all data elements of the existing system and include a process to provide standard definitions and data types (for example, date, number, alphanumeric) approved by the SOTS for all data elements.

The strategy and process shall use encoding/decoding, compression/decompression, and cryptographic methods where appropriate.

SA5-2
The vendor will be responsible for documenting and producing a data map that outlines where data elements from the existing system are located in the new system.

SA5-3
When migrating data, the conversion strategy and process must include the production of a data conversion exception report for any data elements that cannot be converted to the new system or that do not fit within the structure of the new system. For example, if a voter record has a party affiliation code of O, but this code is not identified in the new system, the voter record and reason for exception must appear on the conversion exception report for resolution by the SOTS and/or the vendor.

SA5-4
The SOTS recognizes that there are possible duplicate voter registration records in the existing system, and while the SOTS periodically goes through the records to resolve duplicates, the vendor's conversion process must be capable of identifying potential duplicate records during data migration for future resolution by the SOTS.

SA5-5

The vendor's conversion strategy and approach must utilize iterative testing and validation of the migrated data until the SOTS accepts the results and is confident that all data will successfully migrate to the new system.

SA5-6
The project time schedule must allow at least one month for the SOTS to test a full data conversion through both complete visual inspection and random sampling techniques to assure a 100% accurate conversion.

During conversion testing, the SOTS will expect to verify "before" and "after" statistical reports of the numbers of registered voters as well as reports from the address file to verify all data converted. At a minimum, the SOTS will verify the following;

- total number of "active" registered voters in the system;
- total number of "inactive" registered voters in the system;
- total number of registered voters in each house/senate/congressional district;
- total number of registered voters in each municipality;
- total number of male, female, and undesignated gender "active" registered voters;
- total number of "active" registered voters in each precinct, including the number of voters in each political party;
- total number of "active" registered voters by age group;
- total number of registered voters in each of the condition codes;
- total number of registered voters assigned to each address/geographic file;
- total number of precincts;
- list of voting sites (polling and absentee)
- registered voters flagged as election workers in various counties, districts or precincts;
- polling place and election worker assignment report for any active election IDs at the time of conversion; and
- absentee voter records assigned to any active election ID at the time of conversion.

ATTACHMENT #2
PROPOSAL CHECKLIST

Important Notice: Vendor's must sign and submit this Proposal Checklist with their proposal in order for their proposal to be considered. Signature on the checklist indicates that you have read the RFP requirements and submitted all requested information as set out in the RFP. Completion of this firm does not guarantee a responsive proposal.

General Requirements

- € Register with the Procurement Officer – RFP Cover Page
- € Submit all copies of proposal by the required deadline
- € Proposal Required Review
- € Subcontractor Information
- € Joint Venture Information
- € Vendor's Proposal Certification
- € Conflict of Interest Statement
- € Authorized Signer/Proposal Valid for 90 days
- € Minimum Prior Experience Requirements
- € Financial Statements for last two (2) years
- € No IP Conflict of Interest
- € Comply with state's Standard Contract Provisions
- € Comply with Insurance Requirements

Proposal Format

- € Introduction
- € Technical Solution for the Project
- € Methodology
- € Management Plan
- € Experience & Qualifications

Proposal meets all additional RFP requirements and has submitted all required information as set out in the RFP.

VENDOR'S CERTIFICATION

_____	_____
Company Name	**Date**
_____	_____
Printed Name of Authorized Representative	**Signature of Authorized Representative**

ATTACHMENT #3
PROPOSAL COST SHEET
Statewide Voter Registration System

Proposals must include an itemized list of any and all costs associated with contract performance for the entire Statewide Voter Registration System. The total fixed price must include all direct and indirect costs, hardware, software, licenses, maintenance, support, installation, training, labor, travel, and any additional miscellaneous expenses associated with contract performance must be listed below. Proposals received that do not include a total fixed cost for the entire system and associated costs shall be considered nonresponsive and shall not be evaluated.

Item #1 – Statewide Voter Registration and Election Management Solution
TOTAL FIXED COST

Hardware Cost:	$ _____
Software Cost:	$ _____
Licensing:	$ _____
Annual Maintenance and Operations:	$ _____
Installation and Onsite Training:	$ _____
Total labor cost, estimated hours and hourly rates:	$ _____
Travel Cost:	$ _____

Itemized list of any and all additional costs:

_____	$ _____
_____	$ _____
_____	$ _____
_____	$ _____
_____	$ _____

TOTAL FIXED PROPOSAL COST $ _____

Proposals must include an itemized list of any and all costs associated with contract performance for the entire Statewide Voter Registration System. The annual ongoing cost must include all direct and indirect costs, hardware, software, licenses, maintenance, support, installation, training, labor, travel, and any additional miscellaneous expenses associated with contract performance must be listed below. Proposals received that do not include an annual ongoing cost for the entire system and associated costs shall be considered nonresponsive and shall not be evaluated.

Item #2 – Statewide Voter Registration and Election Management Solution

TOTAL ANNUAL ONGOING COST

Hardware Cost:	$ _____
Software Cost:	$ _____
Licensing:	$ _____

Annual Maintenance and Operations: $ _____
Installation and Onsite Training: $_____
Total labor cost, estimated hours and hourly rates: $ _____
Travel Cost: $ _____

Itemized list of any and all additional costs:

_____ $ _____
_____ $ _____
_____ $ _____
_____ $ _____
_____ $ _____

TOTAL ANNUAL ONGOING COST $ _____

_____
Printed name of Authorized Representative

_____ _____
Signature of Authorized Representative Date

ATTACHEMENT #4
PROPOSAL EVALUATION FORM

All proposals will be reviewed for responsiveness and then evaluated using the criteria set out herein.

Person or Firm Name _____

Name of Proposal Evaluation (PEC) Member _____

Date of Review _____

RFP Number: **RFP 3639**

EVALUATION CRITERIA AND SCORING
THE TOTAL NUMBER OF POINTS USED TO SCORE THIS PROPOSAL IS 100

Proposals will be evaluated against the questions set out below.

Technical Solution for the Project—15 Percent

[a] Does the proposal clearly describe the total overall system architecture (hardware and software), supported by diagrams, and demonstrate that the system has the ability to meet the requirements of this RFP?
EVALUATOR'S NOTES:

[b] Does the proposal describe a proposed failover solution for two remotely separated, synchronized installations and demonstrate the system architecture will be fully redundant with no single point of failure?
EVALUATOR'S NOTES:

[c] Has the vendor clearly described the architecture of each component as it relates to the total system architecture, including backup and recovery and the electronic pollbook solution?
EVALUATOR'S NOTES:

[d] How well does the proposal describe the network configuration of the proposed technical solution, including the connectivity with hardware components, bandwidth requirements and possible remedies and/or options for clients with low bandwidth and high latency office locations?
EVALUATOR'S NOTES:

[e] How well does the proposal outline the security strategy and does it include a description of secure client connection, transmission, and storage of sensitive information?
EVALUATOR'S NOTES:

[f] How well does the proposal describe the software elements of the technical solution and will the software meet state standards?
EVALUATOR'S NOTES:

[g] Does the proposal clearly identify the recommended database system, supporting capabilities of the database, the reasons for the recommendation and affirmation that the division will be the sole owner of the data residing in the system?
EVALUATOR'S NOTES:

[h] Has the vendor detailed the application development tools necessary to meet the requirements of this RFP?
EVALUATOR'S NOTES:

EVALUATOR'S POINT TOTAL FOR Technical Solution for the Project _____

Methodology Used for the Project—20 Percent

[a] How well does the proposal describe the project approach and project phases and does the methodology depict a logical approach to fulfilling the requirements of the RFP?
EVALUATOR'S NOTES:

[b] Has the vendor adequately described the project schedule, including relevant phases, milestones and deliverables and does the proposed schedule depict a reasonable timeframe for the project from start to completion?
EVALUATOR'S NOTES:

[c] Does the proposal provide a clear and detailed plan on how the vendor will execute data conversion and does the data conversion strategy demonstrate the vendor’s ability to ensure the accuracy of the data conversion.
EVALUATOR'S NOTES:

[d] Does the proposal clearly describe the vendor’s proposed test strategy from creation to implementation?
EVALUATOR'S NOTES:

[e] How well does the proposal describe the training strategy and will the proposed training provide staff with a clear understanding of how to maintain and operate the proposed solution.
EVALUATOR'S NOTES:

[f] How well does the proposal outline the provisions covering warranty and annual maintenance of the proposed solution.
EVALUATOR'S NOTES:

[g] Does the proposal address, in sufficient detail, the vendor's approach and proposed solution for meeting the Statewide Voter Registration System requirements outlined in Attachment 1, is the approach and/or proposed solution practical and feasible to meet Connecticut's requirements and if the proposed solution is a COTS product, does the proposal identify modifications that may or may not be necessary?
EVALUATOR'S NOTES:

EVALUATOR'S POINT TOTAL FOR Methodology Used for the Project _____

Management Plan for the Project—10 Percent

[a] How well does the management plan support all of the project requirements and logically lead to the deliverables required in the RFP?
EVALUATOR'S NOTES

[b] Is the organization of the project team clear?
EVALUATOR'S NOTES

[c] Does the proposal include an organizational chart that defines all key functional, technical and management roles of team members?
EVALUATOR'S NOTES

[d] How well does the management plan illustrate the lines of authority and communication?
EVALUATOR'S NOTES

[e] Does the proposal include resumes and do the resumes demonstrate the individual has the qualifications and experience necessary for a project of this type?
EVALUATOR'S NOTES

[f] How well does the proposal describe the vendor's proposed strategy for fulfilling the ongoing project management requirements?
EVALUATOR'S NOTES

EVALUATOR'S POINT TOTAL FOR Management Plan for the Project _____

Experience and Qualifications—15 Percent

[a] Does the proposal demonstrate that the vendor has the experience and qualifications necessary to complete the requirements of this RFP?
EVALUATOR'S NOTES

[b] How well has the firm demonstrated experience in completing similar projects successfully, on time and within budget?
EVALUATOR'S NOTES

[c] Has the firm provided letters of reference from previous clients and do those letters demonstrate a positive relationship and reputation between the vendor and the client?
EVALUATOR'S NOTES

[d] Does it appear the firm is financially solvent and has the resources to complete the project, including financial, personnel and time?
EVALUATOR'S NOTES

[e] Does the proposal demonstrate that the vendor has the ability to provide adequate support for its products after the contract is complete?
EVALUATOR'S NOTES

EVALUATOR'S POINT TOTAL FOR Experience and Qualifications _____

Contract Cost — 25 Percent

Overall, a minimum of 25 percent of the total evaluation points will be assigned to cost.

Converting Cost to Points

The lowest cost proposal will receive the maximum number of points allocated to cost. The point allocations for cost on the other proposals will be determined through the method set out in the cost section above.

EVALUATOR'S POINT TOTAL FOR Contract Cost _____

Presentation Evaluation - 15 Percent

[a] Did the presentation provide a clear understanding of the vendor's proposed solution?
EVALUATOR'S NOTES

[b] Did the presentation demonstrate the vendor's ability to implement the proposed solution?
EVALUATOR'S NOTES

[c] Did the presentation demonstrate how the proposed solution can meet the RFP and Attachment 1 requirements?
EVALUATOR'S NOTES

EVALUATOR'S POINT TOTAL FOR Presentation Evaluation _____

EVALUATOR'S COMBINED POINT TOTAL FOR ALL SECTION _____