



STATE OF ARIZONA

NOTICE OF REQUEST FOR PROPOSAL

REQUEST FOR PROPOSAL NUMBER ADOC14-00003350 / 14-025-23

PROPOSAL DUE DATE September 25, 2013 AT 3:00 P.M.M.S.T.

A pre-proposal Conference has been scheduled. For details please see Special Instructions to Offerors, Paragraph A.1.

In accordance with A.R.S. §41-2534, competitive sealed bids for the materials or services specified will be received by the Department of Corrections through the electronic procurement system ProcureAZ at <https://procure.az.gov/bsol/>. Bids received by the correct time and date will opened on-line.

Late bids will not be considered.

All proposals must be completed in ink or typewritten. Additional instructions for preparing a proposal are included in this Solicitation.

OFFERORS ARE STRONGLY ENCOURAGED TO CAREFULLY READ THE ENTIRE REQUEST FOR PROPOSAL.

REQUESTING AGENCY:	<u>Arizona Department of Corrections</u>
SERVICE:	<u>Adult Inmate Management System (AIMS) Replacement</u>
LOCATION:	<u>Statewide</u>
CONTRACT TYPE:	<u>Fixed Price</u>
CONTRACT TERM:	<u>Ten (10) years</u>

* An Equal Employment Opportunity Agency *

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August 15, 2013

DATE

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Arizona Department of Corrections
Request for Proposal ADOC14-00003350
Adult Inmate Management System (AIMS) Replacement

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Introduction and RFP Overview

A. Purpose of this RFP

The purpose of this Request for Proposal (RFP) is to obtain competitive responses from qualified organizations to implement an offender management system (Solution) and related software applications for the State of Arizona Department of Corrections (ADC). The Solution must align with the ADC vision to make information more accessible and to improve efficiency or operations. The business objectives of the Solution are to:

- Provide broad accessibility and ease of navigation so that it will be widely used by ADC operations and administrative staff
- Provide flexibility in responding to policy changes and the legislative demands of Arizona State legislature and support the cost-effective inclusion of new policies, programs, and services with minimal impact to the Solution and interfacing systems
- Perform real-time sentence calculations, management of inmates from intake through release, parole and exit from the system, and reporting of prisoner movement and activities
- Provide complete case management capabilities to support business processes conducted by ADC
- Provide a seamless interface with the Electronic Health Records system
- Move the design of ADC systems away from individual and separate systems toward a Service Oriented Architecture (SOA) framework
- Build a Solution that provides the flexibility of open interfaces and exposed application program interfaces (APIs)

The Solution will replace the current offender management system, the Arizona Inmate Management System (AIMS) as well as specified standalone personal computing (PC) systems, and specified systems that now interface with AIMS or use AIMS data. The Solution will interface with specified commercial, private, ADC, and other State systems.

ADC is seeking a Contractor to implement either a Commercial Off-The-Shelf (COTS) system, a transfer system from another state, or a hybrid system combining the “best in breed” of different solutions that can be modified to meet the requirements of this RFP. To submit a bid for this work, an Offeror must meet the following Basic Qualification Criteria:

- The Offeror must have recent (within the last seven (7) years) experience in successful implementation of an offender management system of similar size and

scope as required in Arizona, which is defined as a prison correctional institution operated in the United States with a population of at least 10,000.

- A major release of the proposed Solution must have been implemented and operational for at least one (1) year from the RFP release date at a production site in a venue of similar size and scope as defined above. The proposed Solution must have no major changes from this major release in production.
- The Solution must be Web-based and rules-based, and have multiple interfaces with public, private, or commercial systems.
- The Offeror must have two (2) years experience in maintaining its application or system for vendor- or owner-based ongoing operations.

Offerors must confirm this experience in their proposals, detail the supporting experience, and supply references. ADC will consider whether Offerors meet the Basic Qualification Criteria and seek clarification if necessary. Offerors not meeting the criteria will be disqualified, and evaluation of their proposals will not continue.

B. Use of Subcontractors

In the event of a proposal submitted jointly by more than one organization, one organization shall be designated as the prime Offeror. The project leader (Project Manager) shall be an employee of the prime Offeror and meet all relevant requirements as defined in this RFP. All other participants shall be designated as subcontractors. Major subcontractors shall be identified by name. For each proposed subcontractor, the Offeror shall provide information describing what functions or tasks the subcontractor(s) would perform under this RFP.

The prime Offeror shall be wholly responsible for the entire performance of the contracted services whether or not subcontractors are used. The prime Offeror shall sign the Contract with ADC.

C. Approach to Implementation

ADC plans to implement all Solution functionality simultaneously at a single Arizona State Prison Complex. Upon successful completion of that implementation, the second implementation will include all other ADC complexes and offices.

The scope of work under this contract will include implementation at all State prison complexes as well as all privately contracted prison locations. Exhibit B lists all current facilities. All privately contracted prisons will be required to use the Solution; however, ADC will specify functionality that shall not be accessible to contracted staff (non-State employees).

During design, development, and implementation, ADC will minimize changes to AIMS

to the extent possible, but changes may be required when mandated. ADC will work with the vendor to limit any impact on the Solution prior to implementation.

All Solution hardware and software will be hosted by the vendor. The Contractor will conduct all Solution design, development, testing, implementation, operations, maintenance, and modification activities on the Solution hardware and software.

Offerors must designate key project personnel, which shall include at a minimum: Project Manager, Systems Architect / Technical Team Lead, Configuration Manager, Operations Manager, Data Manager, Training Manager, Testing Manager, and Corrections SME. The Corrections SME position may be met by another key person as long as all qualifications are met by the proposed person. All other key positions must be filled by different persons. Offerors' proposals should indicate the percentage of onsite time for each key person and other Contractor staff during each major project activity. ADC will work with the Contractor to finalize onsite requirements.

D. Solution Ownership

The State will own all software that is designed, developed, or enhanced as part of the services procured under this RFP. According to the open source NIEM standard, any constrained or extended schema will remain property of the State and at the discretion of the State can become part of the public domain.

The State will have unlimited license(s) to use any proprietary software that is necessary to operate and maintain the Solution. The contract price includes the price for the license(s). The contractor will retain current licenses for all third party licenses required by the State throughout the term of the contract. Upon termination of the contract all licenses shall be transferred to the State at no cost to the State.

E. Solution Requirements

The Offeror shall deliver an offender management system software application, all other licensed business applications, technology support products, applications, and interfaces that fulfill, all ADC, State and federal requirements. Specified ADC Personal Computer (PC) systems also will be replaced by the Solution or interfaced with the Solution upon implementation. Information on these system requirements are included in Exhibit D: PC Application Matrix.

Attachment C of this RFP includes a list of Functional, Technical, and Interface Requirements for the Solution. Offerors must complete the required forms and submit them with their proposals according to the instructions in Section V of this RFP. Functional requirements are presented in the following 20 functional areas:

1. Intake
 - Inmate Processing
 - Inmate Identification

2. Property
3. Sentence Calculation
4. Classification
5. Population Management
 - Movement
 - Count
 - Transportation
 - Do Not House With
 - Protective Custody
6. Gang Management/Security Threat Groups
7. Holds, Warrants and Detainers
8. Scheduling
9. Discipline
10. Programs
 - Inmate Work/Programs
 - Inmate Education
 - Counseling and Treatment
 - Inmate Trust Accounts
11. Earned Incentive Program
12. Grievances and Appeals
13. Visitation
14. Religious Services
15. Inmate Commissary
16. Arizona Correctional Industries
17. Community Corrections
18. Reporting and Data Analysis
19. Document and Image Attachment
20. Staff Identification

Technical requirements are presented in the following 15 categories:

1. Regulations
2. Hardware/ Software
3. Database
4. Housing of Solution
5. Network Support
6. Workstation Software
7. User Interface
8. Error and Exception Handling
9. System Tools
10. System Security Management
11. Availability
12. Performance
13. Capacity
14. Retention and Archive

15. Audit

The Contractor must build and test interfaces between the Solution and ADC's data sharing partners. The Contractor will have the responsibility of building and maintaining all data push interfaces originating from the ADC solution. Interfaces being used for data input or usage by the ADC solution will also be the full responsibility of the selected vendor to negotiate, design, and implement from the providing system. Replacement of interfaces from existing systems to the Solution should require limited programming effort on behalf of the partner system. Interfaces that are to be designed with other new systems should be designed with an architect representing the sending and receiving systems, as well as business representatives to determine the triggering events, frequency, and format of data to be sent.

F. Responses and Costs

Offerors are advised that the entire RFP, including all appendices, attachments, addenda, amendments, clarifications, and the corresponding proposal shall be part of the contract with the successful Offeror. ADC reserves the right to modify, amend, change, add, or delete any requirements in this RFP to serve the best interest of the State. If significant amendments are made to the RFP, interested parties shall be provided additional time to submit their proposals.

The Contractor shall be responsible for all costs of providing required services as described in this RFP.

G. General Background

ADC operates 10 adult prison complexes (each includes several units per complex) and oversees five private adult prison facilities, housing approximately 40,000 adult inmates and minors sentenced as adults. A sixth private prison facility is scheduled to open in January 2014. ADC supervises approximately 6,800 adult supervision offenders. ADC relies on its Adult Inmate Management System (AIMS) and related software applications to automate and streamline daily business operations ranging from inmate processing, classification, population management, inmate work, education and treatment programs, release, and community supervision.

AIMS is a mainframe-based system implemented in 1985. Since implementation it has been heavily customized. Its aging technology and the lack of available support resources are increasing the cost and complexity of system maintenance and limiting the ability of ADC to increase operational efficiencies and adapt to changing laws and policies.

The objectives of ADC in seeking a Solution to replace AIMS and its related systems include:

- Reduce duplication of effort and risk of error
- Increase operational efficiencies

- Improve data quality and support
- Produce more accurate and timely reporting
- Enhance information sharing and interoperability with other agencies

H. RFP Overview

The following presents an overview of the organization of this RFP.

- Section I – Introduction and RFP Overview - provides an introduction and general overview to this RFP, including the purpose and objectives of this procurement, an introduction to the organization of this document, a schedule of events, and a summary of associated reference materials available online in the Bidders' Library.
- Section II – Current Environment - provides an overview of ADC's current environment, including a brief business context, description of its current business functions and processes, and definition of existing systems and operations.
- Section III – Scope of Work – defines the scope of this procurement, including the scope of software, hardware, Contractor services, and contract deliverables.
- Section IV – Evaluation Criteria and Contractor Selection - defines the evaluation and selection process, including consideration of proposals, as well as demonstrations, interviews, and Final Proposal Requests.
- Section V – Special Instructions to Offerors – Response Format - details the required format for Contractor responses, including required forms and submission requirements for proposals.
- Section VI - Special Terms and Conditions - lists terms and conditions that apply specifically to this procurement.
- Exhibits - include various reference documents that provide information for Offerors:
 - A. Rules for Non-Employees
 - B. Arizona State Prisons
 - C. Contents of the Bidders' Library
 - D. PC Application Matrix
 - E. Key Personnel Qualifications
 - F. Acronyms
 - G. Service Level Agreements
- Attachments - include required forms to be completed by Offerors:
 - A. Offer and Acceptance Form
 - B. Required Contractor Response Forms
 - C. Functional, Technical, and Interface Requirements
 - D. Cost Schedules
 - E. Reference Forms
 - F. Participation in State Procurement Transactions by Small Business Form

I. Schedule of Events

The following table lists the key dates for this procurement. If the State finds it necessary to change any of these dates, it will issue an addendum to this RFP.

Table 1 – Procurement Schedule

Activity	Date
RFP Released	August 19, 2013
Pre-Bid Conference	August 28, 2013
Solicitation Questions Due	September 5, 2013
Proposals Due	September 25, 2013
Contract Start (Estimated)	January 1, 2014

J. Bidders' Library

ADC will maintain a Bidders' Library containing the items or links to the items listed in Exhibit C. Offerors will be able to download copies of electronic documents through ProcureAZ or the procurement website at:

http://www.azcorrections.gov/adc/divisions/adminservices/RFP_AIMsReplacement/RFP.pdf.

All Offerors are encouraged to review the Bidders' Library documents and associated Internet links. The Bidder's Library is expected to be available no later than August 30, 2013.

II. Current Environment

A. Introduction

This section provides Offerors with an overview of Arizona's current business and technical operating environments, including high-level descriptions of computing applications and their operational interdependencies. This view of current operations and technology provides an "as is" context, to provide a basis for understanding the future direction and proposed Solution requirements. The Contractor and the Solution must adhere to all confidentiality regulations applicable in the State of Arizona regarding medical, education, and other privacy requirements.

This section is organized into four subsections:

A. Introduction - provides an overview of the organization of this section.

B. Business Context and Overview – provides a summary of ADC’s three primary business programs: institutions, health care, and community corrections.

C. Business Process Overview – describes ADC’s 20 business functions in the scope of this procurement, including key business process activities and supporting automation.

D. Current System and Operating Environment – defines ADC’s current system and operating environment, including existing software applications, information on estimated user volumes, and operational statistics.

Reference materials have been made available in the AIMS Replacement Project Bidders' Library (Exhibit C: Contents of the Bidders' Library). It is the Offeror’s responsibility to review the library information to better understand Arizona’s business and technical environment.

B. Business Context and Overview

ADC has three primary business programs: institutions, health care, and community corrections. The scope of work in this procurement is limited to the business programs for institutions and community corrections. The scope of work includes interface with the healthcare business program systems, including inmate healthcare information. ADC relies on its Adult Inmate Management System (AIMS) and related software applications to automate and streamline daily business operations ranging from inmate processing, classification, population management, inmate work, education and treatment programs, release, and community supervision.

1. Institutions

ADC operates 10 adult prison complexes (each includes several units per complex) and oversees five private adult prison facilities, housing approximately 40,000 adult inmates and minors sentenced as adults. A sixth private prison facility is scheduled to open in January 2014. ADC institutions employ a series of processes to manage inmates during incarceration. These processes begin when the court commits inmates and ADC receives them, and end when inmates complete their incarceration period and begin community supervision.

Arizona uses four of its institutions as primary intake centers. The inmate intake reception process (from receipt to transfer out) is compressed into an approximate 5- to 10-day process for the vast majority of inmates. During initial intake, ADC staff identifies, screens, and evaluates offenders prior to assigning them to the appropriate institution. Throughout an offender's confinement, ADC continually evaluates, supervises, and provides offenders with numerous services or treatments, such as health care, substance abuse programs, and education. When necessary, ADC initiates additional processes during disciplinary action or when

offenders file grievances.

2. Community Corrections

ADC currently supervises approximately 6,800 community supervision offenders during their community supervision sentences. Most adult offenders serve a term of approximately six to eight months on community supervision. During community supervision, community corrections officers (CCOs) monitor offenders, who continue to receive services such as drug treatment and rehabilitation services. If offenders serve their community supervision time without incident or when community supervision expires, ADC discharges them from community supervision. This discharge marks the termination of the offender's involvement with ADC. If offenders violate their community supervision conditions, ADC initiates the revocation process. This process involves validation of the violation and determination of appropriate sanctions, which include additional confinement time, reassignment to a facility, or continuation of community supervision.

3. Health Care

ADC has contracted with a vendor for the provision of inmate health care services. Software functionality to manage complete health and medical services functionality is not within the scope of this procurement effort. There are however requirements for health information to be shared between the two systems. The current health care scheduling system acquires the following types of data from AIMS: inmate identification; real-time location information; inmate demographic information; and scheduling prioritization.

ADC has contracted for the implementation of an electronic medical records (EMR) system. EMR imports will include information to support immunizations, DNA testing, ADA requirements, disabilities/dependencies, exams, evaluations, and psychological profiles.

Interface requirements under this contract must support current functionality as well as additional functionality for the exchange and maintenance of health and medical information. This interface is addressed in Attachment C: Functional, Technical, and Interface Requirements. Documentation of the interface with the health care information system is included in the Bidders' Library.

C. Business Process Overview

This section provides an overview of the following ADC institution and community corrections business functions included within the scope of this procurement effort:

1. Intake

- Inmate Processing
 - Inmate Identification
2. Property
 3. Sentence Calculation
 4. Classification
 5. Population Management
 - Movement
 - Count
 - Transportation
 - Do Not House With
 - Protective Custody
 6. Gang Management/Security Threat Groups
 7. Holds, Warrants and Detainers
 8. Scheduling
 9. Discipline
 10. Programs
 - Inmate Work/Programs
 - Inmate Education
 - Counseling and Treatment
 - Inmate Trust Accounts
 11. Earned Incentive Program
 12. Grievances and Appeals
 13. Visitation
 14. Religious Services
 15. Inmate Commissary
 16. Arizona Correctional Industries
 17. Community Corrections
 18. Reporting and Data Analysis
 19. Document and Image Attachment
 20. Staff Identification

This section provides an overview of each business process area at a high level, along with the automated systems and the manual steps that support the processes. The Business Process Analysis Document available in the Bidders' Library provides a detailed description of each business process.

1. Intake

The Intake function is part of the Offender Services Bureau's (OSB) responsibility for the determination of offender release eligibility and institution assignment of all offenders committed to the ADC. OSB comprises Intake and Assessment, Offender Classification/Movement, Offender Information, Time Computation, and Population Management. Intake includes Inmate Processing and Inmate Identification.

Inmate Processing

Offender Intake and Assessment for the ADC takes place at four institution locations (Reception Centers) throughout the State that process: adult males, adult and minor females sentenced to death, minor males sentenced as adults, and males sentenced to life or death. The intake assessment process typically takes from five to ten days to complete. Inmates who are sentenced to six months or less are usually processed within three days. Inmate Processing includes the following key activities:

- **Receive and Process Court Orders.** Court orders are received from the counties prior to or concurrently with the arrival of the offender. Court orders are received on paper. ADC personnel input relevant data into AIMS and file the court order in the inmate's Master File.
- **Conduct Preliminary Immigration and Customs Enforcement (ICE) and Security Threat Group (STG) Review.** The inmate's documents are reviewed, and the inmate is interviewed to make the initial determination of immigration status and potential gang affiliations.
- **Perform Inmate Identification.** This activity includes processing fingerprints, photos, tattoos, and DNA.
- **Conduct Initial Screening.** Inmates complete screenings such as medical, mental health, and vision.
- **Conduct Initial Classification.** During Inmate Processing, offenders receive their initial classification using the classification process. Initial classification and assignment to a facility is dependent upon availability of beds that meet the inmate's needs.
- **Conduct Additional Screenings and Surveys.** Offenders complete educational and substance abuse screening, a religious survey, and a criminal thinking survey.
- **Schedule Movement to the Inmate's Institution/Housing Unit.** Upon completion of intake activities, the intake processing center schedules transportation and movement to the inmate's institution or housing unit. The list of inmates being transported is emailed to the facility.

Inmate Identification

The ADC Identification Process includes four separate functions that capture fingerprints and photos of adjudicated inmates for positive identification.

Although the process is not integrated with AIMS, each Arizona State Prison

Complex (ASPC) uses the following pieces of equipment in support of inmate identification:

- **Live Scan.** This system electronically captures the fingerprints of all inmates, staff, vendors, contractors, and volunteers. It provides the fingerprints of all inmates to the Arizona Criminal History database (ACCH) and the Arizona Automated Fingerprint Information System (AFIS) housed at the Arizona Department of Public Safety (DPS).
- **Mug Photo Interface System (MPI).** The MPI captures photos of all ADC inmates, staff, vendors, contractors, and volunteers. The identification card printer on this system provides ID cards for all inmates, staff, vendors, contractors, and volunteers. The inmate photo database is shared with the Arizona DPS and is used by other law enforcement agencies. The images from this system are used in numerous in-house web-based systems developed for Offender Operations.
- **Digi-Web Scan.** The Digi-Web Scan captures fingerprints from the two index fingers and provides demographical data. The Digi-Web Scan provides ADC with the Unit Record Number (URN), the Arrest Record Number (ARN), and the Arizona State Identification. Every new or returning inmate is processed through the Digi-Web Scan at the Reception Centers. Fingerprints are verified for all inmates prior to release.
- **Optical Print and Photo Image Subsystem (OPPIS).** This system provides ADC the ability to view and print every fingerprint and mug photo taken in the State of Arizona by any law enforcement agency since June 2002. The OPPIS provides instant fingerprints and mug photos to fulfill requests made by other law enforcement agencies.

2. Property

Property Management is a function of staff at each Reception Center, the ten ASPCs and the five private adult institutions. Property management includes the following key activities:

- Maintain an inventory of each inmate's property.
- Review and approve or deny the purchase of new property items.
- Store each inmate's property.
- Move each inmate's property.
- Dispose of each inmate's property.

ADC performs inmate property inventory, tracks, and moves inmate property with the inmate. ADC stores the condition of the item in the inventory and tracks the allowable amount of items as required in ADC's policy to ensure compliance.

Property must be available from a permanent location or locally at the inmate facility. An inmate's property is inventoried during the following inmate events:

- Arrival at a Reception Center
- Transfer from one institution to another institution
- Transfer from one unit to a unit of a higher custody level
- Transfer from general population to a segregated population
- Release from ADC custody
- Assignment to a temporary placement
- Escape
- Death

When an inmate is moved from one institution or unit to another, all property permitted, except for appliances and legal materials, is moved with the inmate. Inmate property may also arrive by mail.

3. Sentence Calculation

The Sentence Calculation function is part of the OSB responsibility for the determination of offender release eligibility and institution assignment of all offenders committed to ADC. The Time Computation Unit within the OSB has responsibility for calculation of release eligibility dates for all offenders and oversight of institutional release processes. This responsibility includes the audit of intake documents for accuracy, recalculation of release eligibility dates due to forfeiture of release credits or a change in release credits earned due to disciplinary sanctions, and monitoring of the release eligibility dates. The Time Computation Unit receives the certified sentencing orders from the courts and reviews the orders to determine the appropriate sentencing structure to be applied to each commitment.

ADC policies or Arizona Revised Statute (ARS) changes may impact the projected release dates and credits. Recalculations can be triggered by disciplinary actions, detainers, administrative actions, refusal of supervision conditions, literacy test failure, or changes in custody level.

Due to Arizona's complex statutes, manual calculations are still used in some cases. Calculation variables include date of offense, sentence (based on statute as of the date of offense), and jail credits. Inmates with multiple offenses and concurrent sentences require a very complex calculation. As a result the error rate is the highest for these sentence calculations. The earliest release for inmates serving for violent crimes is after they have completed 85% of their sentence, which further complicates sentence calculation.

Communication with the various courts, law enforcement agencies, and other departments is essential to clearly determine the status of the projected release

dates. As a part of the review process, Time Computation Unit staff ensures that the sentencing order complies with the applicable State laws that were in effect at the time of the offense and submits requests for clarification to the courts when conflicting statutes are cited. Approximately 90 days before a scheduled release, an Initial Release Confirmation is completed. Within one week of the scheduled release, the Final Release Confirmation Audit is completed. Failure to accurately project the release dates and eligibility would place ADC in a serious legal position as the possibility of an early or late release can have public safety implications, negative community relations, and financial implications.

Sentence Calculation includes the following key activities:

- **Audit Intake.** This activity ensures accurate information from court documents is annotated in AIMS. It calculates offender release date(s) in accordance with the certified sentencing order and applicable statutes. It also requests clarification from the sentencing court or ADC's General Counsel on discrepancies in court orders. Finally, this activity includes forwarding restitution information to Inmate Banking.
- **Sentence Modifications.** This activity verifies additional sentences and sentence modifications and recalculates release dates based on certified sentencing orders. It also verifies authenticity of conviction and sentence vacates.
- **Board of Executive Clemency (BOEC) Certification.** This activity certifies eligible offenders for BOEC review monthly. It verifies eligibility for commutation or pardon, and forwards applications to the Board of Executive Clemency.
- **Forfeitures/Restorations and Class III Rescissions.** This activity reviews and verifies all recommendations for forfeiture, restoration, or rescissions. It ensures policy compliance and processes approved actions and recalculates time accordingly.
- **Initial Release Confirmation.** Calculations are reviewed or recalculated 90 days before the inmate's projected release date to ensure the inmate's release date is accurate.
- **Final Release Confirmation.** Calculations are reviewed or recalculated within one week of the inmate's projected release date to ensure the inmate's release date is accurate.

4. Classification

The Inmate Classification function is part of OSB's responsibility for the determination of offender release eligibility and institution assignment of all offenders committed to ADC.

Offenders received into ADC are initially classified using an objective Custody Classification System (CCS). The classification profile consists of an offender's custody classification and internal risk levels, as well as his/her program needs. Each inmate is assessed to ensure that the inmate's classification is appropriate for the assigned custody and internal risk level. The initial classification occurs during the inmate intake process at the Reception Centers.

Inmate Correction Plans are part of the classification process. Development of the inmates' individual correction plans relate to the type of programs to which they are assigned and their expected behavior while in prison. Periodic reviews of the inmates' plans are done at least once a year and whenever an inmate transfers to a new unit. Classification scores are adjusted based on information received during the review period to include behavior, time left to serve, and overall history. An offender's placement is changed when the custody classification indicates the offender no longer meets the custody/security designation of the current unit assignment. Inmates are notified each time they are reclassified and their internal risk or custody score changes.

Currently, the Correction Plan is automated using extensive, objective criteria to automatically determine inmates' risks and needs. Based on the criteria, the system produces three options for each inmate. ADC staff use these options to select the facility, programs, etc. for each inmate.

Classification includes the following key activities:

- **Conduct Classification Assessment.** The initial assessment for the initial custody level, internal risk level, and institutional assignment consists of a battery of tests, an interview with the inmate, and detailed evaluation of court documents and information acquired from other agencies concerning the inmate's background and criminal history. Staff reviews and assesses information on AIMS for the needs assessment scores to ensure the scores are accurate. Custody Classification involves determining the custody level based on the risk the inmate presents to the public and staff, as well as the time remaining until the inmate is released. The Internal Risk Level is determined based on the risk the inmate presents to the public and staff and other inmates to assist in making decisions regarding housing and work assignments.
- **Prepare Classification Recommendation.** The Corrections Officer (CO) III or CO IV completes the recommendation that includes the custody level, internal risk level, institutional assignment, and release credits earning class,

and forwards the classification assessments to the Deputy Warden or designee for review.

- **Review, Approve, or Deny Recommendation.** The Deputy Warden reviews the CO III or CO IV's assessment and recommendations to ensure the facts support the recommendation. The Deputy Warden either approves or denies the recommendation. If the recommendation is denied, it is returned to the CO III or CO IV for revision. The Deputy Warden or designee's decision is final with the exception of decisions related to:
 - Custody overrides or placement in maximum custody
 - Decisions independently initiated and finalized by Central Office Classification
 - Removal of an inmate from maximum custody placement
 - Institutional assignment
- **Enter Classification into AIMS.** The CO III or CO IV enters the classification information into AIMS to finalize the classification process.
- **Appeal.** There is no process for inmates to appeal the initial/reclassification decisions or institutional assignment except for inmates classified for placement in a maximum custody institution, who may appeal based on the factual basis of scoring. All other inmates may request an administrative review of their scores contesting only two elements: the factual basis for scoring and custody-level discretionary overrides.
- **Develop the Inmate Correction Plan.** Within seven to ten days, the housing unit CO III meets with the inmate to develop a Correction Plan for the next year. The plan considers custody level, medical status, and test results. It includes the inmate's job and program assignments, as well as the inmate's self-improvement, leisure, family reunification, and community betterment activities. Periodic reviews of the inmate's plan are done at least once a year and whenever the inmate transfers to a new unit. As the inmate nears his/her discharge date, the plan is updated to provide key documentation regarding an inmate's transition planning and to provide Community Supervision staff important information in planning for a successful transition from prison to the community.

5. Population Management

Population Management is the responsibility of the OSB and supports the determination of offender release eligibility and institution assignment of all offenders committed to ADC. The purpose of Population Management is to ensure permanent State beds and private beds are efficiently managed and the agency's Bed Plan is accurate and reflects future bed needs.

Specialized populations of inmates, such as Protective Custody and sex offenders, are moved according to ADC's policies. There are currently 3,100 inmates in Protective Custody. Population Management functions include Movement, Count, Transportation, and Do Not House With.

Movement

Movement refers to an admission, transfer, or release of an inmate from a location. Movements include tracking of inmate bed characteristics that are matched with inmate needs, such as ADA needs/reasonable accommodations/effective communication, single/double cell process, integrated housing, security level, psychiatric beds, specialized counseling beds, administration segregation beds, sex offender beds, sensitive needs, medical beds, etc. This process includes documenting internal bed moves within a unit and external movement (transfers to other ASPCs and releases from prison). This process also provides a means of placing and removing a restriction of movement on an inmate or cell/room/bed. The movement of an inmate is based on the classification level.

Count

Count refers to the number of inmates in a particular unit/area. Correctional staff conduct formal counts at 1 am, 4 am, 11 am, 4 pm, and 10 pm.

Transportation

Transportation is the scheduling, monitoring, and tracking of inmates' movement between the Reception Centers and their initial housing units, between housing units within an institution, or from one institution to another.

Do Not House With

The Do Not House With function includes the following key activities:

- **Prepare the DNHW Restriction.** Do Not House With (DNHW) relates to those inmates that cannot be housed together due to conflict(s). The CO IV prepares a DNHW recommendation that includes the documentation gathered, the rationale as to why an inmate should be classified as DNHW, and to whom it applies. Once the recommendation is approved, the information is entered into AIMS for use when the inmate's housing assignment is changed.
- **Removal of an Inmate's DNHW Restriction.** The CO IV prepares a No Housing Restriction recommendation that includes the reasons the inmate was originally listed as a DNHW and the reasons the restriction is being removed.

6. Gang Management / Security Threat Groups

The Security Threat Group (STG) and Criminal Investigations Units within the

Office of the Inspector General work to minimize the threat that inmate gang or gang-like activity poses to the safe, secure, and efficient operation of institutions.

The STG is responsible for the identification, validation, and monitoring of gang members. Gang affiliation can be identified as the following:

- Gang Member – the inmate receives enough ADC evaluation points (on the assessment tool) to confirm gang affiliation
- Gang Suspect –the inmate does not receive enough ADC evaluation points (on the assessment tool) to have a STG status,
- Debriefed affiliation - an inmate who is getting out of a gang
- Step down affiliation – validated gang members who have not debriefed but have not been involved in STG

Gang Management includes the following key activities:

- **Identify and Monitor Suspect.** STG’s Special Security Unit (SSU) monitors inmate activities to gather evidence of suspected gang-like activity that demonstrates a clear and compelling potential to threaten the safe and secure operation of ADC. The information for each inmate is entered into AIMS.
- **Validate Inmate Affiliation.** Once sufficient evidence has been gathered, STG develops a group threat assessment. It is presented to the Director to “certify” a gang as an STG, which is considered a prison gang. Validation is a process by which the evidence is presented to a validation committee to validate an individual as a STG member. Only members of an STG can be validated. There is an automated assignment of classification points for being a suspect or validated gang member. Members of gangs that are not considered “certified” receive an original assignment of six points at classification, and upon re-classification receive seven points. If the inmate is a suspect member of a certified STG, then he is assigned 14 points upon re-classification.
- **Monitor.** Once the group or inmate is certified, it is monitored on a continual basis. Based on the monitoring the STG annually makes recommendations to the Director, through the STG Appeals Committee, regarding whether or not to continue certification. Monitoring includes STG member debriefing and overseeing the STG Step Down Program. Step Down enables inmates who have been validated as STG members to remove themselves from STG activity and demonstrate to ADC staff that they are no longer involved with STG.

- **Notify Law Enforcement Agencies.** When the inmate is scheduled for release from an ADC institution, the STG Unit notifies the appropriate law enforcement agencies of the inmate's release, providing documentation of the inmate's STG activities and affiliations while incarcerated.

The Criminal Investigations Unit staff use a paper-based process and AIMS to perform the following key activities:

- **Investigate Criminal Activity within the Institutions.** This activity investigates instances and gathers the evidence necessary for the prosecution of inmates who engage in criminal activities within ADC institutions.
- **Identify Potential Security Threat Activities.** This activity monitors inmate activities as a means of identifying potential security threat activities. For example, monitoring inmates' commissary purchases for atypical activity such as buying additional food and/or magazines, enables the investigators to alert staff to potential security threat activities.

7. Holds, Warrants and Detainers

This business process records, tracks, updates, and resolves as appropriate potential and actual holds, warrants and detainers (HWDs) placed on an ADC inmate by other law enforcement agencies. The following terminology applies to this business process:

Warrant: The information that is sent by ADC when an ADC offender's whereabouts are Unknown (e.g., escapee, parolee/releasee-at-large) to other law enforcement agencies for use in arresting the offender. A warrant hold can occur when a potential warrant comes in and the county wants to pick up an inmate.

Hold/Detainer: The information that is sent by ADC to another law enforcement agency when an offender's whereabouts are known (in custody of another jurisdiction or being released temporarily to another jurisdiction) that authorizes the other agency to hold/detain the ADC offender in their custody. Under this provision, an early release cannot occur.

Offender Information Unit staff at the various institutions enter all holds, warrants, and detainers into AIMS as they are received. Staff notes the date received, type of request (i.e., notification, felony hold, warrant, detainer), the case number, and the date of any request cancellation. The hard-copy documents are placed in the Institutional File with a copy forwarded to the Central Office Master Record.

Holds, Warrants and Detainers includes the following key activities:

- **Receive and Process HWD.** This activity involves recording, tracking, and updating information when a law enforcement agency places a HWD on an offender.
- **Receive HWD Cancellation Request.** This activity involves HWD cancellation requests.
- **Issue Hold/Detainer Upon Release from CDCR Custody To Another Jurisdiction.** This activity involves issuing a Hold/Detainer when an offender is temporarily released from an institution to another law enforcement agency or when an inmate is being released prior to the scheduled release date to an agency with an actual HWD in place.
- **Issue a Warrant.** This activity involves requesting, obtaining approval, and issuing a Warrant for offenders whose whereabouts are unknown.
- **Issue Warrant for Escape.** This activity involves issuing a warrant for an offender who has escaped.
- **Issue ADC Hold/Detainer.** This activity involves issuing a Hold/Detainer when an offender needs to be detained for ADC jurisdiction (e.g., technical parole violations, suspected criminal behavior, contact from law enforcement agency, apprehension on an ADC Warrant).
- **Cancel ADC Warrant/Detainer.** This activity involves cancelling an ADC warrant or hold/detainer.

8. Scheduling

Scheduling is a function used by ADC staff across units to schedule inmate activities. Scheduling includes the following key activities:

- **Schedule Appointments.** This activity schedules inmate appointments, job assignments, program assignments, and counseling and treatment appointments.
- **Cancel/Suspend Appointments.** This activity cancels or suspends inmate appointments.
- **Notify Inmates.** This activity notifies inmates of their scheduled appointments on a daily basis.

ADC staff uses a variety of AIMS screens to schedule, cancel, suspend, and notify inmates of their appointments. Daily inmate appointments can be sorted by inmate, supervising staff member, unit, complex, or statewide. It allows for both individual and group turnouts and for recurring appointments. The system also schedules turn-outs or call-outs of individual inmates outside of their regular work

and programs assignments (e.g., legal visit, counselor interview).

9. Discipline

ADC maintains written rules of inmate conduct, sanctions, and procedures for violations. These rules mirror Arizona State's criminal code to the greatest extent possible. ADC processes approximately 36,000 discipline charges annually. ADC classifies inmate misconduct within the institutions into three basic levels:

- **Class A and B Violations** (serious and intermediate misconduct) are correlated with the criminal felony violations of law as defined by Arizona State statutes or ADC rule violations.
- **Class C Violations** (minor misconduct) are criminal violations defined by Arizona State statute as misdemeanors or ADC rule violations as listed in ADC Order 803, Inmate Discipline, Attachment A. There are some offenses that are misdemeanor violations by Arizona State statute, which by the nature of the offense are of greater significance in the prison, and are treated accordingly.

Any ADC staff member observing an inmate's violation of the written rules of inmate conduct completes a Disciplinary Report and submits it to the shift supervisor. After reviewing the report, the shift supervisor submits it to the Disciplinary Coordinator, who then is responsible for investigating the incident and tracking all resulting disciplinary actions. Disciplinary Hearing Officers are responsible for conducting disciplinary hearings and setting appropriate penalties for Class A and B violations. Class C violations are processed by the Disciplinary Coordinator.

Inmate Discipline includes the following key activities:

- **Document Misconduct.** This activity documents incidents when an offender is involved in misconduct. The ADC staff member completes the Disciplinary Report (DR).
- **Review and Investigate Misconduct.** This activity involves the various reviews conducted to determine the appropriateness of the charged offense, the assistance required to facilitate effective communication and reasonable accommodation in preparation for the hearing, ensuring adherence to the due process of the inmate, and ensuring all required documentation is available at the hearing. For all processes noted below, timeframes are either mandated by statute or ADC policy:
 - Review disciplinary charges (shift supervisor)
 - Review disciplinary charges (Discipline Coordinator)
 - Serve written charge to the inmate

- Investigate (optional for minor charges)
 - Set penalty and inform the inmate (minor charge only)
 - File the report
- **Conduct Disciplinary Hearing.** This activity involves conducting a formal hearing and reviewing the violation to determine the appropriate penalty. This process applies to major charges only:
 - Gather inmate and witness reports
 - Deliver packet to the Disciplinary Hearing Officer
 - Conduct the hearing
 - Set the penalty
 - Inform the inmate, file the report, and forward it to the Warden, Deputy Warden, or Administration for review
- **Impose Disciplinary Actions/Sanctions.** This activity is performed when the inmate has been found guilty of a rules violation and a sanction is imposed. Sanctions can include actions such as loss of earned time credit/earned program credits, time adds, loss of privileges, or imposition of a determinate term of segregated confinement. An inmate can appeal disciplinary actions or sanctions. A disciplinary appeal may result in the following resolutions: granted, partially granted, denied, withdrawn, or cancelled. An appeal may only be withdrawn by the inmate. An appeal may be considered cancelled based on various factors, such as an inmate's refusal to be interviewed or discuss the appeal. Appeal resolution may impact other processes such as sentence calculation or discipline.

10. Programs

Inmate Work / Programs

The Inmate Work/Programs function is used primarily by ADC staff to create and maintain work/programs information, assign and enroll inmates, supervise inmates in programs, and remove inmates from work/programs assignments. The objective is to effectively and efficiently assign inmates to the most appropriate work, education, and treatment assignments. ADC staff use AIMS to perform the following key work/programs activities:

- **Create and Maintain Work/Programs Information.** This activity maintains work/programs information such as program descriptions, program codes, frequency of the program, waiting lists, position vacancies, and evaluations of program success.
- **Assign/Enroll Inmates in Work/Programs Assignments.** This activity assigns inmates to a work/programs assignment or puts the inmate on a waiting list for the specific work/programs area.

- **Supervise Inmate in the Program.** This activity tracks attendance, evaluates inmate performance, and records hours worked. The Work Incentive Payment Program (WIPP) is used to evaluate an inmate's job performance, record hours worked, and facilitate the pay of inmates in WIPP jobs.
- **Remove Inmates from Work/Program Assignments.** This activity involves activities that are performed to remove an inmate from a program. This removal may be for adverse or non-adverse reasons, a promotion, or completion of a program.

Inmate Education

Inmate Educational Services is part of Workforce Development, which reports to the Support Services Division Director of ADC.

The ADC Education Program recognizes the importance of education in helping reduce recidivism. ADC provides a continuum of education and training opportunities that address the assessed needs of Arizona's offender population. These programs are arranged to assist offenders in gaining skills that lead to productive and practical work experiences while within the correctional setting and the transition back into the community upon release.

Inmate Educational Services are provided in five basic program areas: Mandatory Literacy, General Equivalency Diploma (GED) Preparation, Special Education (SPED), Career and Technical Education (CTE), and Post Secondary Academic programs. Accommodations under the Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1974, section 504 are offered to all qualifying offenders.

Inmates assigned to the Functional Literacy Program remain in the program until they reach the 8.0 Functional Literacy Standards or are exempt from the program standard. These services are required by ARS 31-240, 31-229 and 31-229.01.

Inmates remain in the GED Preparation Program until they are tested by a designated GED Examiner in accordance with federal and Arizona Department of Education rules and regulations, and they successfully complete or pass the GED test.

The goal of Special Education (SPED) is for inmates to pass the minimum eighth grade literacy standard or GED. These classes are for inmates under the age of 22 who have a disability or a history of receiving special education services. The classes are required by ARS 15-1372.

Inmates remain in a Work-Based Education Program (Career and Technical Education) until they pass the Work-Based Education class in which they are enrolled in accordance with the Community College Board rules and regulations.

Post Secondary Academic classes are delivered in a variety of methods: distance learning, classroom instruction, electronic learning or a hybrid of methods. The goal of these classes is for inmates to earn academic credit towards obtaining an Associates of Applied Sciences Degree.

During the intake process inmates are tested to determine their educational needs. To establish an inmate's baseline educational level, qualified staff administers an approved IQ test, Clinical Analysis Questionnaire, and the McGraw Hill's Test of Adult Basic Education (TABE) Survey to all new inmates received at the Reception Centers. An inmate's priority ranking for education programs is based on educational needs:

- Special education requirements
- Mandatory literacy for delinquent youth (under 21) per Title I Part D
- Adult mandatory literacy (can be up to 100 on waiting list depending on facility)
- Title I (delinquent youth) that require GED
- Others requiring a GED

Inmate Educational Services is responsible for establishing ADC educational programs, conducting educational classes, monitoring inmates' educational efforts, and maintaining attendance records. Inmate Education Services works closely with Arizona's school districts and community colleges in designing and operating ADC's Inmate Educational Services. Inmate Education Services uses Schoolmaster to track inmate progress and report to the school districts. Inmate Educational Services includes the following key activities:

- **Establish ADC Educational Programs.** Inmate Educational Services works with ADC institutional management and local community colleges to develop each institution's education program classes based on the needs of inmates.
- **Conduct Educational Classes.** Academic education teachers, correctional education program trainers, contract academic education teachers, and contract community college instructors develop the classroom curriculum and conduct the classes.
- **Monitor Inmate's Educational Progress.** Academic education teachers, correctional education program trainers, contract academic education teachers, and contract Community College instructors monitor inmate program participation and assess the degree to which inmates are making appropriate progress toward completion of the program.
- **Maintain Attendance Records.** Maintain daily enrollment and attendance records. Educational program attendance for inmates under the age of 22 is currently tracked manually.

The Contractor and the Solution must adhere to all confidentiality regulations for education as applicable under Arizona and Federal law.

Counseling and Treatment

Counseling and Treatment Services (CTS) is part of Inmate Programs and reports to the Support Services Division Director of ADC. CTS comprises Addiction Treatment Services (ATS), Sex Offender Education and Treatment Program (SOETP), and Driving Under the Influence (DUI) Treatment.

In addition to these three programs, Self Help/Mutual Help Support Groups (Alcoholics Anonymous, Narcotics Anonymous, and SMART Recovery) are conducted by volunteers at units where offenders are permitted to meet in groups. ADC prioritizes counseling and treatment programs for inmates based on a combination of need and program availability. Counseling and Treatment includes the following key activities:

- **Document Need for Service.** This activity involves gathering data from the initial screening at intake, entering the information into Priority Ranking Report (PRR) scoring matrix, and entering the results into AIMS to document the inmate's need for service.
- **Identify Inmates for Treatment Program/Groups.** This activity uses the PRR and a list of program treatment/groups that have available slots to identify inmates to assign to the groups.
- **Enroll and Schedule Inmates in Treatment Programs/Groups.** This activity uses various AIMS screens to enter the information necessary to enroll and schedule inmates into programs or groups.
- **Conduct Classes and Maintain Inmates Clinical File.** These activities include providing program services, developing treatment plans, and maintaining the clinical file that includes consent forms, treatment plans, and progress notes. ADC uses Microsoft Word to develop progress note files and print the files at the conclusion of treatment.
- **Create Discharge Plans.** This activity prepares the Discharge Plan, which includes the history of the inmate's treatment and outcomes, recommended continued support, and a copy of the inmate's clinical file to be provided to Community Corrections when the inmate is released or discharged. The Discharge Plan is developed in the PC web-based Release Management System (RMS), printed, and placed in the inmate's clinical file. Documents are scanned and attached to the electronic file in RMS.

The Contractor and the Solution must adhere to all confidentiality regulations for medical treatment as applicable under Arizona and Federal law.

Inmate Trust Accounts

This business process manages inmate funds, discharge funds, inmate indigent status eligibility, and deductions from inmate wages and mail money. It oversees mandatory deductions from inmate monies, including Alcohol Abuse Treatment Fund (AAF), Dedicated Discharge (DDA), room and board, child support, transition fees, utilities charges (provided the inmate has an energy-consuming device), and victims' compensation. It also oversees ADC-controlled deductions (i.e., ITA fees, court-ordered restitution, State and federal filing fees (when the court has ordered restitution or filing fees), disciplinary restitution, taxation/risk management, and escapee apprehension if applicable) as well as deductions and holds on inmate-initiated transactions (e.g., commissary, copies, postage, legal supplies, GED testing fees).

The ITA Section of the Financial Services Bureau of the Administrative Services Division is responsible for the bank reconciliation of the ITA. This section accounts for and distributes monies collected from inmates for state filing fees, federal filing fees, court-ordered restitution payments, and child support. The section provides support to ITA field staff and system support for the ITA system.

The ITA system integrates with Inmate Payroll, which calculates wages to be paid to the inmates for work. The ITA function includes the following key activities:

- **Receive Inmate Funds for Deposit.** ADC accepts funds for deposit in the form of a money order; cashier's check; electronic transaction; business check; or city, county, state, federal, or tribal government check. Personal checks, traveler's checks, savings bonds, and online bill payment checks are returned to the sender. ITA staff record deposits in the BNK system.
- **Disburse Inmate Monies.** Mandatory deductions are made based on a percentage of deposits made into inmates' accounts. ADC-controlled deductions are made after all mandatory deductions have been taken. Additionally, inmates may request disbursements from their flexible spending account. Inmates may request disbursements for emergency expenditures from their Retention Fund upon approval from the Director's Office. Inmates' funds may also be disbursed for escapee apprehension costs, debts owed as a result of litigation or final discipline, medical costs resulting from assaults, and utilities.
- **Release Inmate Monies.** ADC withholds 25% of all wages earned by each inmate and deposits it into the inmate's Dedicated Discharge Account (DDA), until the balance reaches \$50 or \$100. The DDA maximum cap has been increased from \$50 to \$100 for General Population Inmates. The DDA maximum cap for inmates serving a life or death sentence remains at \$50. Upon an inmate's discharge from ADC or release to Community Corrections, ADC releases the balance of this account to the inmate. Upon discharge or

release, inmates receive the balance of their flexible spending and retention accounts on a debit card.

11. Earned Incentive Program

ADC developed the Earned Incentive Program (EIP) to assist inmates in learning and sustaining a responsible, pro-social lifestyle and to incorporate ethics and values into their everyday lives. This program became effective on April 21, 2007 and is unique to Arizona.

ADC strives to reduce relapse, revocation, and recidivism by holding inmates responsible and accountable throughout their incarceration. It offers specific programming to address inmates' risks and needs as well as rewarding positive behavior.

The EIP is a three-phase system of graduated earned incentives and sanctions. It is an automated business process that gathers information from AIMS to provide an objective analysis of each inmate's risks and needs. Based on the inmate's release date and identified risks and needs, ADC staff develops an inmate Correction Plan that offers specific programming to address inmates' risks and needs as well as rewarding positive behavior.

On a weekly basis each inmate's EIP status is reviewed and the Correction Plan and privileges are adjusted accordingly. Examples of privileges are:

- Work assignments
- Work pay rate
- Program assignments
- Phone calls
- Visitation
- Store (commissary) purchases

Inmates can appeal if their pay rate is affected. If the appeal succeeds, the pay rate is restored and the retroactive pay is manually adjusted. There are exceptions based on release time (less than six months) and mental health or learning disabilities.

12. Grievances and Appeals

ADC's grievance process provides inmates a mechanism to appeal ADC decisions, actions, conditions, or policies that inmates can demonstrate as adversely impacting their conditions of confinement or institutional life.

The Grievances and Appeals business process includes the following key activities. The grievance process is not necessarily a linear one, (i.e. a grievance does not have to progress through all of the following activities):

- **Submit Informal Complaint.** This activity documents and attempts to informally resolve an inmate complaint.
 - Inmate submits an Informal Complaint on Inmate Letter, Form 916-1 within 10 working days of the incident
 - ADC investigates and attempts to resolve complaint informally
 - ADC provides a written response to the inmate on Inmate Letter, Form 916-2 within 15 working days

The inmate may file a Formal Grievance if he/she is dissatisfied with the response to the Informal Complaint resolution.

- **File Formal Grievance.** This activity initiates a formal grievance should an inmate be unable to satisfactorily resolve his/her complaint informally in the previous step.
 - Inmate files a Formal Grievance with the Grievance Coordinator using the Inmate Grievance, Form 802-1
 - ADC logs and assigns an number to the grievance
 - ADC investigates the grievance
 - Deputy Warden issues a written response to the inmate within 15 working days following receipt of the Formal Grievance
- **File First-Level Appeal.** This activity provides the inmate the opportunity to appeal the Deputy Warden's response to his or her formal grievance.
 - Inmate files an Inmate Grievance Appeal, Form 802-3 to the Warden
 - Warden reviews Grievance Appeal and supporting documentation
 - Warden issues formal response within 20 working days affirming or reversing the decision of the Deputy Warden
- **File Appeal to the Director.** This activity provides the inmate the opportunity to appeal the decision of the Warden issued in the previous step.
 - Inmate submits an Inmate Grievance Appeal Form within five working days
 - ADC logs, processes, and forwards all documents within five working days of receiving the Inmate Grievance Appeal Form to the Central Office Appeals Officer
 - ADC investigates the appeal
 - Central Office Appeals Officer prepares formal response to be issued to the inmate with the Director's signature within 30 calendar days

Alternate business processes exist for the following grievance types:

- Emergency
- Medical

- Staff
- Written instruction

13. Visitation

Inmate Visitation includes established procedures authorizing family members and others to visit inmates. There are three types of visitors: regular, attorney, and special. This business process includes reviewing and approving applications, maintaining visitor lists, and processing visitors in and out of the institutions/facilities. There is a one-time \$25 background check fee for each visitor.

A stand-alone Visitation Applications system enables prospective visitors to apply and submit their one-time application fees online. Alternatively, prospective visitors can print the visitation application and submit it along with a money order to ADC. Receipt of application payment is recorded in AIMS. Visitation staff maintains visitation files for each inmate.

Visitation includes the following key activities:

- **Process the Visitation Application.** This activity processes inmate visitation requests and maintains approved visitor lists for inmates.
 - Inmate submits a Visitation List, Form 911-1
 - Prospective visitor submits an Application to Visit an Inmate and background check fee, if applicable
 - ADC logs and processes application fees
 - ADC conducts background checks
 - ADC approves or denies the visitation request
 - ADC updates the list of approved visitors for the inmate
- **Process Visitors.** This activity checks inmate visitors in and out of the institution/facility.
 - Visitor provides identification
 - ADC conducts a visitor search, as necessary
 - ADC logs the date and time of visitor entry in the Daily Visitor Sign-In, Form 911-8
 - ADC monitors the visit
 - ADC logs the date and time of visitor departure in the Daily Visitor Sign-In, Form 911-8

14. Religious Services

The staff for religious services is part of Inmate Programs and report to the Support Services Division Director of ADC. The Pastoral Activities program

consists of staff chaplains and volunteers serving over 40 different religions routinely represented in the inmate population. In addition, other community groups and individuals assist with special services and seminars scheduled periodically at each complex. Religious services are available on all units. The programs are delivered per ARS 31-201.01/ 31-206; ARS. 41-1493.01; Religious Land Use and Institutionalized Persons Act of 2000.

Chaplain Services provides over 2,500 religious services each month with nearly 14,000 inmates attending. Over 1,200 active volunteers provide more than 4,000 hours of service monthly.

15. Inmate Commissary

Inmates may request a disbursement from their spendable accounts for commissary purchases. This business process automates the payment for commissary payments from an inmate's trust account.

Commissary and Inventory Management are outsourced to ADC's commissary vendor (Keefe Commissary Network). The Keefe system provides institutions with an automated canteen solution, fully integrated with the AIMS-based BNK system. It enables ADC to process inmate purchases and refunds daily to inmates' trust accounts as a batch process. Requests are paper-based (on a bubble form) and are scanned for input into the Keefe system.

16. Arizona Correctional Industries

Arizona Correctional Industries (ACI) reports to the Support Services Division Director of ADC. Although ACI is a part of ADC, it is a business enterprise entity that funds itself. Inmates work in shops (such as license plates, upholstery, and metal work) and profits go directly into the program to fund operational costs. There are 32 owned and operated shops and labor contract shops.

Structured along the lines of a traditional private enterprise, ACI industries and related activities comprise five units, Administrative Services, Business Development, Finance and Accounting, Sales/Marketing/Customer Service, and Operations.

ACI Manufacturing Operations Bureau focuses on the oversight, creation and maintenance of jobs to benefit inmates within the institutions, State government, and private employers. Approximately 2,000 inmates work over 350,000 hours per month in a variety of ACI jobs. ACI has 35 contracts with State agencies and private contractors. Net revenue for fiscal year 2012 was approximately \$38.5 million.

All ACI inmate jobs are a privilege, and inmate participation is voluntary. Inmates may be assigned to one of two programs: ACI-owned and -operated industries; or

private/public sector labor programs. Inmates assigned to ACI-owned and -operated industries occupy positions that are classified and paid in accordance with ADC policy. Inmates assigned to private/public sector labor programs are compensated at the wage rates specified in the inmate work contract/agreement, as negotiated with the private/public contractor, within the guidelines established in State and federal statutes, and with input from the Arizona Department of Economic Security as appropriate.

The ACI uses the Epicor system for financial management and invoicing of private/public sector employers. ACI's Manufacturing Operations Bureau staff is responsible for the following key activities:

- **Perform Oversight.** This activity oversees the various work sites and works with institution management, State agencies' management, and private contractors to ensure ADC provides a safe and secure environment for its workers.
- **Create Jobs.** This activity creates opportunities for offenders to develop marketable skills and good work habits through enterprises that produce quality products and services for ADC customers
- **Evaluate Inmate Performance.** This activity oversees the preparation of objective evaluation of an inmate's job performance.
- **Manage Inmate.** This activity enters inmates' work performance information into AIMS.

17. Community Corrections

Community Corrections ensures the accurate release, effective re-entry, transition, and supervision of offenders released to the community. Community Corrections also facilitates the return to custody of those offenders who violate conditions of supervision and who represent a serious threat to the safety of the community. Approximately 100 community corrections officers maintain contact with offenders in the community based on their supervision level (i.e., Intense, Maximum, Medium, or Minimum). When necessary, they complete warrants of arrest for offenders who violate their conditions of supervision.

The Community Corrections Bureau of the Offender Services Division comprises six units:

- Interstate Compact Services Unit
- Release Unit
- Sex Offender Coordination Unit
- Warrant Services/Hearing Unit
- Electronic Monitoring Unit

- Field Operations – Direct supervision of offenders

Each of these is described in the following:

Interstate Compact Services Unit The Interstate Compact Services Unit (ISC) coordinates parole transfers to and from Arizona. The unit serves as the central location for interstate information and special investigation requests from other states on pardons, clemency investigations, and pre-sentence reports. Unit staff act as liaisons with various State and local criminal justice agencies and administers the Interstate Agreement for Detainers for Inmates incarcerated elsewhere who are returned to Arizona for trial on untried criminal charges.

Release Unit The Release Unit coordinates all activities between institutions and Community Corrections in transitioning offenders from prison to the community. Activities include processing release packets, reports, and forms on all offenders released from the institution to the community. The unit also maintains and coordinates homeless offender activities and placement information.

Sex Offender Coordination Unit The Sex Offender Coordination Unit (SOCU) reviews all sex offender cases up to one year prior to release from prison to determine if the offender is subject to the statutory requirements of the Sex Offender Registration (ARS 13-3821), Community Notification (ARS 13-3825), or civil commitment under Arizona's "Sexually Violent Person" (ARS 36-3701) statutes. As part of this process, ADC Classification System identifies sex offenders that require a review for statutory requirements

Warrant Services/Hearings Unit The Warrant Services/Hearings Unit (WHSU) is responsible for obtaining, processing, and monitoring all warrants requested, issued, and received by and for Community Corrections. Responsibilities include entering warrant data into ACIC/NCIC data base, confirming warrants for other agencies, quashing warrants for other agencies, quashing warrants approved by Community Corrections Manager, and maintaining the warrant database for statistical purposes on all arrests, warrants issued, quashed, and canceled.

Electronic Monitoring Unit The Electronic Monitoring Unit (EMU) supervises all offenders released on parole or community supervision that have a past or current conviction for a crime designated as Dangerous Crimes Against Children (DCAC) as outlined in ARS 13-60401 and ARS 13-705. The Phoenix EMU supervises those offenders in Maricopa County, and Tucson EMU supervises those offenders in the greater Tucson area. The EMU also supervises inmates released on Home Arrest. Because this is a field-based unit, EMU officers supervise the offenders in the community, using GPS to find their location.

Field Operations The direct supervision of Community Supervision offenders to guide and ensure offenders are accountable and in compliance with Conditions of

Supervised Release. Community Corrections Officers conduct assessments to determine the appropriate level of supervision and complete appropriate referrals based upon offender's risk/needs for successful reintegration into the community. Referrals may include:

- Substance abuse treatment
- Employment/job skills training
- Life skills
- Mental health/psychological services
- Eligibility assessments (e.g. veteran, SMI, SS, etc.)

Field Officers conduct accountability procedures to include the imposition of intermediate sanctions, warrants of arrest, and related due process requirements.

In addition to AIMS, Community Corrections uses the Offender Management System (OMS). OMS is a custom-developed web-based application that serves as Community Corrections' case management system. It manages offender gains and losses, risk and needs assessments, and placement as well as parole officer caseloads. OMS provides automated functionality for the following business processes:

- Warrants
- Fugitive apprehension
- Immigration and customs enforcement
- Community Corrections Centers (in development)

Prior to release to Community Corrections, ADC performs the following key activities:

- **Confirm Release Date.** The Offender Information Unit Manager at each institution maintains a manual list of release eligibility dates for each inmate, known as Inmate Release Eligibility Identification System. The Time Computation Unit prepares an Initial Release Confirmation approximately 90 days before a scheduled release, and within one week of the scheduled release, completes the Final Release Confirmation Audit.
- **Prepare the Pre-Release Packet.** An inmate's correctional officer prepares a pre-release packet with the inmate's proposed residence as well as proposed sponsor and contact information to aid in the pre-release investigation.
- **Conduct a Pre-Release Investigation.** The Community Corrections Liaison conducts a pre-release investigation to validate the inmate's proposed residence and sponsor. The Conditions of Supervision and Release are reviewed with the inmate and, after being signed, are included in the Pre-Release Packet and forwarded to Community Corrections. Upon receipt, a parole officer investigates the release plan based on the information provided

on the Pre-Release Investigation Report and Release Authorization, Form 1003-6P and Community Placement Investigation Interview, Form 1003-4P to determine if the proposed placement is in the best interest of the public, ADC, and inmate. After release approval, Community Corrections may request a final verification of release date from the Time Computation Unit.

- **Send Notifications.** Prior to the release of an inmate, the Release Notification Services Unit sends release notices to victims and agencies in accordance with ADC Order 1001, Section 1001.6. Offender Information Unit staff notifies the Business Manager and Health Services of the inmate being released, and confirms that victims and agencies have been notified. OIU also notifies Community Corrections, completes the Institutional Release Confirmation Report, and ensures copies of the Special Conditions of Supervision and Release have been distributed to the inmate, the institution, and the inmate's Master File.

Community Corrections performs the following key activities:

- **Supervise Offender.** Community Corrections staff logs the receipt of the Release Packet within AIMS and forwards the packet to the assigned Parole Officer. The assigned parole officer makes initial contact with the release offender, verifies the offender's residence and employment, and conducts a risk assessment to determine the minimal amount of supervision needed. The Parole Officer maintains ongoing documentation of the offender's adherence to Conditions of Supervision in the casebook or field file.
- **Make Program Referrals as Appropriate.** Parole officers may refer supervised offenders to specific programs based on their Conditions of Supervision. These include drug treatment, rehabilitation, and other services, which may be contracted programs or programs facilitated by ADC.
- **Discharge Offender from Community Corrections.** If an offender serves his or her community supervision time without incident, or when community supervision expires, ADC discharges the offender from community supervision. The assigned Parole Officer logs a "loss code" in AIMS, notes the discharge in OMS, and forwards the offender's hard copy file to the central office.

Community Corrections uses a comprehensive, GAAP-compliant, double-entry accounting system that tracks all court-ordered payments, fines, or cost-of-supervision invoices levied against an offender in the system. The system maintains a historical record of payment and non-payment of fees and obligations and calculates pro-rated amounts for partial billings.

18. Reporting and Data Analysis

ADC staff relies heavily on standard, parameter-driven and ad hoc reports to

support their business functions and decision making. A copy of the AIMS database is downloaded on a daily basis for use by various ADC organizations to support their research and ad hoc reporting needs. This download provides data files for the various PC applications ADC has developed to support business processes not supported by AIMS.

Research Unit staff within the Planning, Budget, and Research Bureau of Administrative Services Division are responsible for gathering, analyzing, organizing, and compiling data used for responding to information requests and generating reports. Reports are prepared for the Director and executive staff, the Governor's Office, the legislature, and the public. The Research Unit also responds to requests from federal agencies, including the Department of Justice, the Bureau of Justice Statistics, and the Department of Homeland Security.

Offender population, prison capacity, recidivism, and other data are analyzed and trended for inclusion in surveys, ad hoc reports, strategic plans, and other major research projects.

19. Document and Image Attachment

AIMS does not support document or image attachment. Each prison must maintain its own manual records because AIMS does not contain all the information needed to review court documents, pre-sentence and disciplinary reports, and provide prior felony conviction packets to prosecutors.

20. Staff Identification

The Staff Identification function provides tracking of ADC staff, contract staff, and other users through AIMS. Staff IDs are created in AIMS with an audit trail of entry.

Maintenance of Staff IDs is complicated when tracking ADC and contract staff at the private prison complexes. Because contract staff personnel are not internal users on the ADC (State) network, accounts must be established through the State Data Center. ADC is responsible for establishing access to specified screens for contract staff personnel, who are not allowed by statute to enter certain information into AIMS.

21. Out-of-Scope Business Processes

The following business functions are out of scope of this procurement effort:

- Inventory Management
- Litigation Tracking

D. Current System and Operating Environment

ADC currently uses a mainframe-based Adult Inmate Management System (AIMS), which was implemented in March 1985. Since implementation, AIMS has been heavily customized. In addition to AIMS, numerous in-house developed, web-based applications collect data from AIMS and are tied into more flexible programs to improve the efficiency and effectiveness of operations, reporting, and data analysis. Over 60 PC- and web-based applications supplement AIMS.

This section provides an overview of ADC's current systems and operating environment.

1. Applications

AIMS traces its roots back to MSD (MIS Software Development), a Florida-based company specializing in the development, implementation, and maintenance of offender management systems (OMS). Today, ADC relies on the following key AIMS-based application modules:

- Inmate Information System (IIS)
- Offender Tracking System (OTS)
- Community Services System (CSS)
- Inmate Visitation System (IVS)
- Inmate Trust Account (BNK) System
- Gang Related Inmate Tracking System (GRITS)

The following briefly describes each of these modules.

Inmate Information System

The Inmate Information System (IIS) serves as the core AIMS module supporting nearly all inmate operations. IIS tracks inmate test results, classification, movement, work and other program information, and discipline and disciplinary violation information. It also manages inmate correction and release plans.

Offender Tracking System

The Offender Tracking System (OTS) maintains the majority of inmates' key information, including sentence count and commitment, personal characteristics, and personal history, detainers, and warrants. OTS also maintains ADC staff data.

Community Services System

ADC uses the Community Services System to track adult supervision offenders, their caseload officers and reporting locations, costs of supervision payments, contacts, addresses, and related information.

Inmate Visitation System

ADC uses the Inmate Visitation System (IVS) to manage inmate visitor lists, visitations, and suspensions as well as contractor and sponsor records.

Inmate Trust Account System

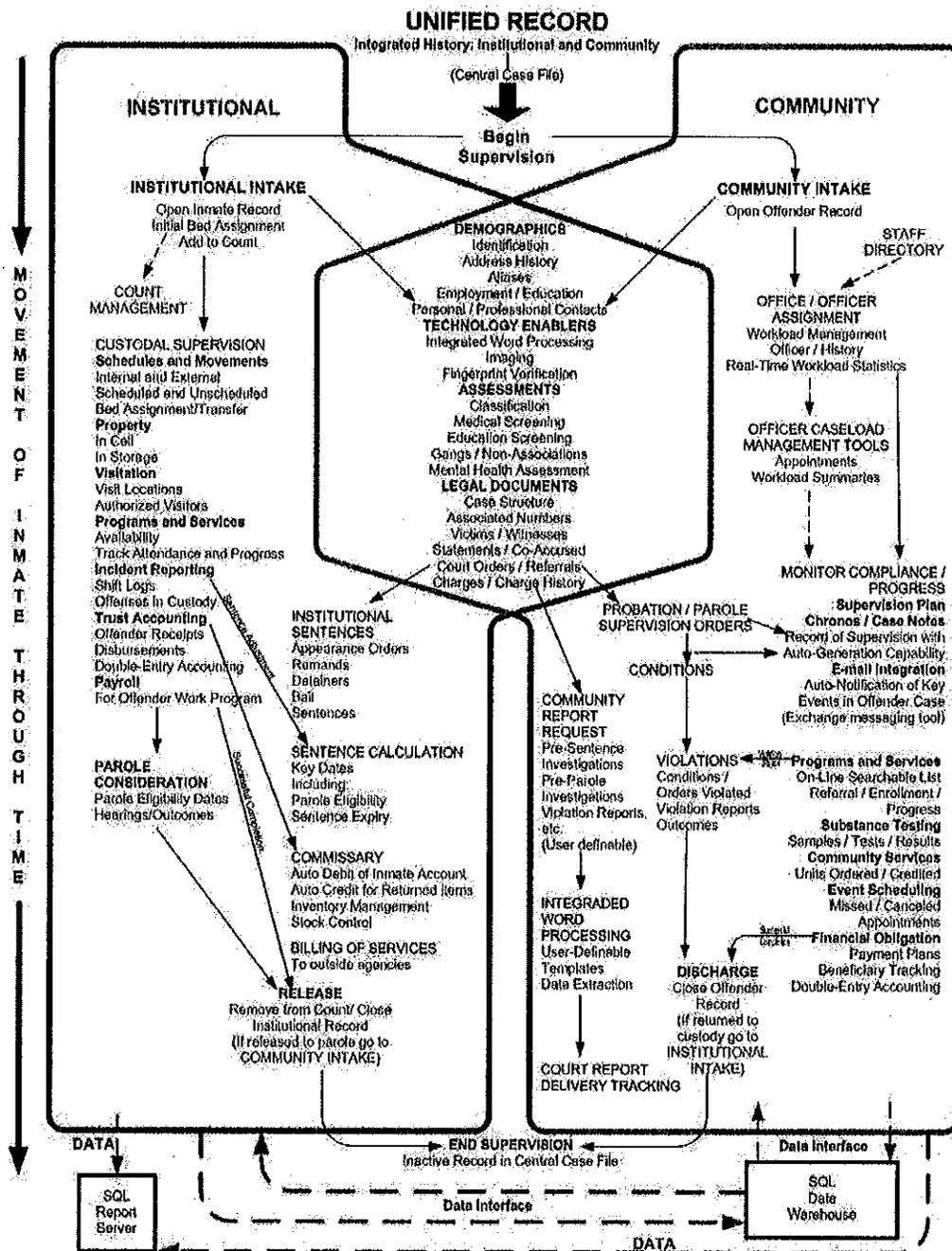
ADC uses the Inmate Trust Account (BNK) system to manage inmate trust accounts. BNK provides a double-entry Generally Accepted Accounting Principles (GAAP)-compliant accounting system. It allows for automatic recovery of mandated and Department-controlled deductions as monies pass through the inmate's trust account.

Gang Related Inmate Tracking System

The Gang Related Inmate Tracking System (GRITS) enables ADC staff to identify, monitor and track STG-related activities from the streets to the county jail, upon arrival at ADC's Reception Centers, and through institutional time served until release.

The following figure illustrates how AIMS supports ADC's institutional and community corrections processes to establish a Unified Record for each inmate.

Figure 1 – AIMS Connectivity Diagram



ADC's Offender Management System (OMS) serves as the case management system for Community Corrections. There is no real-time interface with AIMS. OMS manages offender gains and losses, risk and needs assessments, and placement as well as parole officer caseloads. OMS provides automated functionality for the following business processes:

- Warrants
- Fugitive apprehension
- Immigration and customs enforcement
- Community Corrections Centers (in development)

The most recent addition to IT development involving the Community Corrections Bureau is the Release Management System (RMS). RMS is a web-based application that serves as the Department's inmate release management system (inmates released from custody to community supervision under the ADC Community Corrections Bureau). Inmate "release packets" are created within the RMS by institutional staff (CO III's) and sent electronically to community supervision for the purpose of providing CCOs with necessary offender case history information. Upon receipt of this "release packet" CCOs conduct pre-release investigations, track offender release dates, assume offenders under supervision, and conduct subsequent case management upon release. Once inmates have been released from custody and are assumed under Community Supervision (triggered by AIMS codes), the inmate is considered "offender" status. Intake of the offender occurs in the OMS.

The AIMS technical architecture makes modifications difficult. As a result, in addition to AIMS and OMS, ADC has custom-developed a number of applications, referred to as "PC AIMS applications" in this document, to supplement core AIMS functionality. The Contractor will be required to incorporate the functionality of these standalone applications into the Solution to the extent possible. When not possible or only partial incorporation is possible, the Contractor will be required to establish an interface with the system.

Exhibit D provides a list of current standalone systems, which ADC believes will be impacted by replacement of AIMS with the Solution. The appendix notes whether the Contractor will be required to interface with the system and whether the system functionality is expected to be incorporated into the Solution so that the system can be fully or partially retired. Many require additional analysis as information on the proposed Solution becomes available. ADC will work with the Contractor to determine the course of action for retiring or interfacing with each of these systems.

The following table provides a partial list of some major third-party, stand-alone systems that support ADC business functions. ADC anticipates that these systems will not be incorporated into the Solution under this procurement, but the Contractor will be required to establish interfaces with these systems as part of the Solution. A more complete list of third-party systems are listed in the Bidders' Library. Attachment C lists interface requirements.

Table 2 – Third-Party, Stand-Alone Systems

APPLICATION	DESCRIPTION
Epicor	Correctional Industries uses Epicor for finance management and for invoicing private/public sector employers.
KeepTrak	The Keefe system provides institutions with an automated canteen solution, fully integrated with the AIMS-based Inmate Trust Accounting system. It enables ADC to process inmate purchases and refunds daily to inmates' accounts as a batch process.
Live Scan	Live Scan electronically captures the fingerprints of all inmates, staff, vendors, contractors, and volunteers. For inmates it provides the fingerprints to the Arizona Criminal History database (ACCH) and the Arizona Automated Fingerprint Information System (AFIS) housed at the Arizona Department of Public Safety (DPS).
Mug Photo Interface System (MPI)	The MPI captures photos of all ADC inmates, staff, vendors, contractors, and volunteers. The Identification card printer on this system provides ID cards for all inmates, staff, vendors, contractors, and volunteers. The inmate photo database is shared with the Arizona Department of Public Safety and is used by other law enforcement agencies. The images from this system are used in numerous in-house developed web-based systems used by Offender Operations.
Digi-Web Scan	The Digi-Web Scan captures fingerprints from the two index fingers and provides demographical data. The Digi-Web Scan provides ADC with the Unit Record Number (URN), the Arrest Record Number (ARN), and the Arizona State Identification.
Optical Print and Photo Image Subsystem (OPPIS)	OPPIS provides ADC the ability to view and print every fingerprint and mug photo taken in the state of Arizona by any law enforcement agency since June 2002. This system is housed in the Offender Information Unit. The OPPIS can provide instant fingerprints and mug photos to fulfill requests made by other law enforcement agencies.

2. Users

AIMS currently has approximately 5,600 users.

3. Operational Statistics

Operational statistics will be provided in the Bidders' Library.

4. Reports

The Solution will be expected to produce reports currently produced by AIMS as well as additional reports listed in the requirements stated in Attachment C, Functional, Technical, and Interface Requirements. Current reports are documented in the Bidders' Library.

5. Technical Environment

The following table summarizes the current AIMS technical environment.

Table 3 – AIMS Technical Environment

COMPONENT	CURRENT TECHNOLOGY/PLATFORM
Server	
Hardware	Mainframe
Operating system software	Z-OS
Database server software	DL/I (ISM)
Application software	CICS / COBOL
Client	
Workstation operating system software	Windows
Business software suite	3270 Emulation
Application authentication	RACF

System Transaction Volumes

The following table documents current system transaction volumes.

Table 4 – Estimated Transaction Counts

TRANSACTION TYPE	ANNUAL VOLUME (FY 20112)
AIMS Batch	462,936
AIMS CICS	88,268,118

III. Scope of Work

A. Introduction

This section outlines the scope of the services required for the Arizona Department of Corrections (ADC) AIMS Replacement project.

The Contractor will be required to work in collaboration with the “State,” which includes ADC, other State staff, as well as contractors and other representatives of ADC to accomplish the project objectives.

The Contractor will be required to implement the Solution in all active public and private facilities and all ADC administrative offices that are active on the implementation date. A list of current facilities is provided in Exhibit B. Currently one additional facility is planned to open in January 2014. This facility is a private facility at Red Rock, AZ estimated at 1,000 beds.

The Contractor shall be responsible for providing computer hardware and software resources to support the completion of all tasks. The Contractor shall use and maintain word processing, spreadsheet, and project management software compatible with ADC’s software.

The Contractor shall provide the State with online access to the Solution’s database(s), all applications, and report generation capabilities.

B. Software

This section will detail the desired software functionality in scope of this procurement, including:

1. Intake
 - Inmate Processing
 - Inmate Identification
2. Property
3. Sentence Calculation
4. Classification
5. Population Management
 - Movement
 - Count
 - Transportation
 - Do Not House With
 - Protective Custody
6. Gang Management/Security Threat Groups
7. Holds, Warrants and Detainers
8. Scheduling

9. Discipline and Disciplinary Appeals Earned Incentive Program
10. Programs
 - Inmate Work/Programs
 - Inmate Education
 - Counseling and Treatment
 - Inmate Trust Accounts
11. Earned Incentive Program
12. Grievances and Appeals
13. Visitation
14. Religious Services
15. Inmate Commissary
16. Arizona Correctional Industries
17. Community Corrections
18. Reporting and Data Analysis
19. Document and Image Attachment
20. Staff Identification

ADC has a preference for a COTS or transfer Solution that requires more configuration than custom development. Offerors' proposals shall designate the proposed Solution functionality that requires configuration, customization, development from scratch, third party software, or that cannot be met according to the matrix included in Attachment C.

C. Hardware and Software

The Contractor shall acquire any hardware or software required by the Solution, including licensed software, in such a manner that it may be legally used in the Solution. The Contractor shall ensure that both the hardware and software is upgradable and expandable with regular maintenance to ensure optimum performance. The Contractor must provide an unlimited number of licenses for State users for all hardware and software, including third-party software during the entire term of the contract.

Licenses for hardware or software must allow transfer to the State during Turnover activities defined in Section III.D.11. Offerors shall itemize hardware and software in their proposal on the cost schedules provided in Attachment D. Schedules will include price per user for each license.

D. Contractor Services and Deliverables

1. Section Overview

In this RFP, ADC is seeking a qualified Contractor to perform the following activities for implementing the Solution:

- Project Initiation and Management
- Requirements Definition

- Design
- Development / Configuration
- Conversion
- Testing
- Training
- Implementation
- Maintenance and Operations
- Turnover

Each activity includes the description of work, deliverables, and Contractor and State responsibilities required to successfully complete that activity.

2. Project Initiation and Management

The following section provides a description of the work, deliverables, and Contractor and State responsibilities required to plan and execute the activities identified in this RFP.

a) Project Initiation and Management Description

The Contractor shall be responsible for initiating the project and managing all aspects of the activities identified in this RFP. Project Initiation and Management activities consist of the Contractor's approach to initiating, planning, monitoring, reporting, and meeting resource requirements throughout the life of the contract. Offerors are expected to present a clear understanding of the methods and tools used to ensure that resources are managed and required tasks and deliverables are completed.

Project Management includes the following:

- Project Initiation- Perform the initial tasks associated with determining the scope of the project, conduct project kick-off activities, and install project hardware and software at the vendor site
- Project Planning - Plan time, cost, and resources adequately to estimate the work needed to effectively manage risks
- Project Monitoring and Controlling - Monitor and control all areas of the project defined in this RFP. This includes monitoring and controlling processes to ensure that potential problems can be identified in a timely manner and corrective action can be taken.
- Project Closing - Ensure the orderly closeout of the Contract

At a minimum, specific Project Management tasks include:

(1) Preliminary Planning

The Contractor shall perform Preliminary Planning tasks to ensure that ADC is prepared to fully initiate project activities on the Contract start date without delays. Activities may include initiation of project communications, introduction of the respective project teams, discussion of specific items negotiated in the contracted scope of work, and preparation of all teams for full initiation on the Contract start date.

(2) Project Kick-Off

The Contractor shall plan and lead Project Kick-Off activities, which will focus on setting the foundation for project management throughout the life of the contract. The Contractor will propose a Kick-Off Meeting(s) that shall occur within ten (10) business days of contract execution. The Kick-Off Meeting(s) will be attended by State and Contractor representatives subject to ADC approval. At the meeting(s) the Contractor shall provide an overview of project tasks and the project schedule. Within five (5) business days of the meeting, the Contractor shall document meeting decisions and outcomes.

(3) Software Project Management Plan (SPMP)

The Contractor shall develop, deliver, maintain, and execute a Software Project Management Plan (SPMP) that conforms to the current version of Institute of Electrical and Electronic Engineers (IEEE) 1058 Standard for Software Project Management Plans; IEEE 12207, Management Process, IEEE 12207.1, Plan – Generic Content guidelines and Project Management Body of Knowledge (PMBOK®). The SPMP shall be delivered to ADC within (15) business days of contract award. The SPMP will serve as the controlling document for managing the project associated with this RFP, and will define the technical and management processes that apply to the project. The SPMP shall include:

(a) Introduction

Provide an overview of the project, a list of project deliverables, and the plan for development and maintenance of the SPMP.

(b) Project Organization

Describe the project organization, interfacing entities, and individual responsibilities for key project activities.

(c) Management Approach

Describe the following:

- Management objectives and priorities

- Project assumptions, dependencies, and constraints
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Change Management Plan
- Corrective Action Plan (CAP) methodology
- Staffing Management Plan
- Subcontractor Management Plan (if applicable)
- Records Management Plan
- Performance Measurement Plan
- Monitoring and controlling mechanisms that will be used

(d) Technical Approach

Specify the technical methods, tools, and techniques to be used, including the following:

- Quality Assurance
- Project Metrics
- Configuration Management
- Verification and Validation

(e) Work Packages, Schedule, and Budget

The work packages should specify the functionality to be delivered in each release consistent with the approved contract, the schedule, interdependencies, resource requirements, and assumptions regarding the approach.

(4) Master Work Plan and Work Breakdown Structure
(WBS)

The Contractor shall develop, deliver, maintain, and execute a Master Work Plan and Work Breakdown Structure (WBS) that conforms with PMBOK®. The Master Work Plan shall be established for all phases of the project through a high-level WBS. As the project progresses, the plan shall be refined with additional detailed work activities for upcoming activities. The Master Work Plan and WBS must be created and maintained in MS Project in a version approved by ADC.

As part of the proposal, the Contractor will provide a preliminary project work plan and WBS. Within ten (10) business days of the project Kick-Off Meeting, the Contractor shall deliver an updated work plan and WBS that reflects any changes from the plan submitted with the Contractor's proposal as discussed and agreed during the project Kick-Off Meeting. The work plan and WBS shall be maintained throughout the life of this contract. All changes to the baseline schedule initiated in this activity shall require ADC approval.

The plan shall focus on migration from the current AIMS application and supporting systems to the new Solution. The Master Work Plan and WBS shall be updated each week to reflect percentage completion by activity and submitted with the project status report. Dates in the Master Work Plan shall not be updated without mutual agreement between the Contractor and the ADC Project Manager to reflect the accurate status of the project. The Master Work Plan and related documents shall include:

- Tasks and subtasks, including dependency tasks to the level they are managed by the Contractor
- Milestones and milestone reviews
- All project deliverables
- Resource loading - number, level, and type of staff summarized for each task and subtask to the level it is managed. Resource loading must show an appropriate allocation of resources and realistic duration of project activities.
- Estimated effort for each task at the level it is managed
- Gantt chart showing planned and actual start and end dates for tasks, percentage complete, and critical path activities
- Time periods for ADC review and comment for deliverables and milestones, and subsequent time periods for Contractor correction

(5) Project Deliverable Management

This section lists all required project deliverables and the approach to submitting and receiving approval of deliverables.

(a) Mandatory Deliverable Components

The Contractor shall include the following sections with each deliverable:

- Revision History – Identifies the version of the draft, the date the draft was submitted, deliverable point of contact / person making change, and a description of changes made
- Table of Contents – Provides an overview of all the contents within the deliverable along with a page references
- List of Figures- Provides an overview of all figures along with page references
- List of Tables – Provides a list of tables of all tables along with page references
- Referenced Documents – Provides a summary of the relationship of this deliverable to other relevant documents, including the document name, number, and issuance date
- Assumptions / Constraints / Risks – Describes any project assumptions, constraints, and risks that impact the deliverable

- Acronyms – Provides a list of all acronyms identified in the deliverable, along with the literal translation and definition

(b) Deliverable Expectation Documents

The Contractor shall develop and submit Deliverable Expectation Documents (DEDs) for all deliverables for ADC approval prior to deliverable preparation. The DEDs shall describe the contents of each section, the proposed format, media, and number of copies for each deliverable. For those deliverables that are not documents, the DED shall include the proposed format and method of delivery.

(6) Status Reports

The Contractor must provide Weekly Project Status Reports that shall conform to the reporting standards outlined in the most current version of PMBOK®. Weekly Project Status Reports shall include the following:

- Summary of work completed during the previous week and any results achieved
- Summary of proposed tasks and deliverables for the upcoming week
- Updated Project Work Plan and WBS
- Schedule for delivery of the next SPMP update
- Contractor’s analysis of critical issues, including any schedule slippage
- Issue and risk tracking, assessment, and mitigation strategies
- Documentation of issue management and change management status along with recommended corrective actions
- A dashboard that tabulates data for performance and work remaining on the project by deliverable and milestone

(7) Status Meetings

The Contractor shall attend status meetings or conference calls on a weekly basis. ADC may require more frequent status meetings as needed. Status meetings will provide updates on project progress, issues related to the project, and project risks. The status meetings shall include the ADC Project Manager, other project team members, and other State staff as designated by ADC.

b) Project Initiation and Management Deliverables

- Project Kick-Off Meetings
- Software Project Management Plan (SPMP)
- Master Work Plan and Work Breakdown Structure (WBS)
- Deliverable Expectation Documents (DEDs)
- Project Status Reports

- Project Status Meetings
- Draft ADOS-ASET status reports for ADC review, approval, and submission
- Installation Results Report

c) Contractor Project Initiation and Management Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.2(b)
- Develop, deliver, maintain and execute all deliverables as defined in Section III.2(b)
- Develop Project Status Reports
- Attend regular project status meetings and provide project updates
- Develop an Installation Plan for ADC approval
- Perform integration and operational readiness testing to ensure all environments are fully functional
- Provide ADC with an Installation Results Report that reports completion and results of each step of the installation plan, including certification to ADC of operational readiness of all environments

d) State Project Initiation and Management Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.2(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.2.b
- Attend status meetings, and coordinate attendance of ADC and State personnel
- Approve the Contractor's approach and plan for integration and operational readiness testing of the installation
- Keep the Contractor apprised of ongoing changes to the related programs
- Provide coordination with other State agencies, and report any relevant information, instructions or requirements to the Contractor
- Provide coordination with prison management private contractors throughout all phases of the contract; request and ensure their participation as needed in project activities
- Finalize schedule and location for project status meetings, and notify the Contractor
- Verify and approve the Installation Results Report certifying operational readiness of all environments
- Provide final approval for execution of the installation

3. Requirements Definition

This section provides the description, deliverables, and Contractor and State responsibilities required to define requirements prior to designing, developing, or configuring the Solution. The Contractor shall coordinate with ADC regarding use of ADC facilities for requirements sessions. ADC will provide space for requirements sessions. The Contractor shall provide appropriate equipment for use in conducting the sessions, including computers, flip charts, and access to electronic information. The Contractor shall perform room setup, cleanup and testing of equipment.

a) Requirements Definition Description

The Contractor shall work with the State personnel to review the Business, Technical, and Interface requirements stated in Attachment C and generate a set of desired requirements for use in the system design. Requirements Definition activities shall result in:

- A set of functional and nonfunctional (e.g., quality attributes, legal and regulatory requirements, standards, performance requirements and design constraints) requirements describing the Solution to be developed and configured
- Requirements that are prioritized, approved, and updated as needed
- Requirements that can be analyzed for correctness and testability
- Appropriate techniques to optimize the Solution
- An understanding of requirements' impact on the operating environment
- A method to evaluate the cost, schedule, and technical impact of changes to baseline requirements
- A method to trace requirements throughout the project life cycle: from ADC's original requirements baseline as published in this RFP, to the design specifications, and through each subsequent phase of the project including maintenance and operations (M&O)

Specific tasks shall include:

(1) Requirements Definition and Validation Plan

The Contractor shall develop, deliver, maintain and execute a Requirements Definition and Validation Plan, which shall address the following topics:

- Thorough review and validation of all requirements specified in this RFP
- Description of tools to be used
- Use of scheduling of resources

- Approach to issue and comment tracking
- Method of measuring that each requirement has been satisfied for use in generating test cases for system testing and the User Acceptance Test (UAT)
- Identification of potential training topics and considerations

(2) Joint Application Requirements Sessions

The Contractor shall plan and facilitate Joint Application Requirement Sessions (JARs) for detailed consideration of all Solution requirements by State and Contractor staff. The Contractor shall record the results of all JARs including decisions, justification for changes (including new, modified, or deleted requirements), outstanding issues requiring follow-up, and any impact on future detailed design sessions. The Contractor records must document potential training considerations for inclusion in training activities.

(3) Requirements Traceability Matrix

The Contractor shall develop, deliver, maintain, and update a Requirements Traceability Matrix (RTM). The Contractor shall use the requirements identified in Attachment C to ensure both forward and backward traceability. Requirements tracking must assure all requirements are developed, configured, tested, and approved by ADC. The Contractor shall discern between testable and non-testable requirements. The initial RTM shall be based on the requirements as stated in this RFP and shall be updated after each major activity and submitted to ADC for review and approval.

(4) Requirements Specification Document

The Contractor shall provide a Requirements Specification Document (RSD) using a structure and format approved by ADC. This RSD must include the Solution's functional and non-functional requirements. The Contractor shall:

- Identify how and where the requirements are met in the proposed Solution
- Define whether the requirement can be met through standard functionality of the proposed Solution with or without configuration, a customization, or a development activity
- Identify and verify all internal and external interfaces
- Define a means of measuring that the requirement has been satisfied

(5) Business Rules Document

The Contractor shall provide a document outlining all business rules that are developed or configured for the Solution. The document must outline how each

business rule aligns to specific requirements.

b) Requirements Definition Deliverables

- Requirements Definition and Validation Plan
- JARs and session records
- Requirements Traceability Matrix (RTM) showing RFP requirements and updates resulting from the requirements definition activities
- Requirements Specification Document (RSD)
- Business Rules Document

c) Contractor Requirements Definition Responsibilities

- Develop and deliver DEDs for all deliverables defined in Section III.3(b)
- Develop, deliver, maintain, and execute all deliverables defined in Section III.3(b)
- Use plans and processes identified in the ADC-approved Requirements Definition and Validation Plan throughout the life of the contract
- Create and maintain the RTM throughout the life of the contract
- Develop and submit a JAR schedule for review by ADC
- Develop and distribute JAR agendas prior to each session
- Facilitate JARs, and record the results of sessions
- Use project control tools to formally track requirements session results showing requirements decisions by module or functional area, including completed and incomplete requirements

d) State Requirements Definition Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.3(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.3(b)
- Work with the Contractor to establish a schedule and location for JARs
- Review and provide feedback on JAR agendas
- Provide appropriate staff to attend JARs
- Provide the Contractor with information regarding interfaces and system processes, as well as State policy, regulations, and procedures
- Track policy-related changes and training impacts identified during the JARs
- Work with the Contractor to resolve issues during the Requirements Definition activity

4. Design

The following section provides the description, deliverables, and Contractor and

State responsibilities associated with designing the Solution.

a) Design Description

The Contractor is responsible for designing a Solution to meet the needs of ADC as associated with this RFP. The Contractor shall coordinate with ADC regarding use of ADC facilities for design sessions. ADC will provide space for design sessions. The Contractor shall provide appropriate equipment for use in conducting the sessions, including computers, flip charts, and access to electronic information. The Contractor shall perform room setup, cleanup and testing of equipment.

The Contractor shall ensure that its Solution design meets all requirements required to conduct the business processes described in Section II and all requirements listed in Attachment C as updated and detailed in Requirements Definition activities.

ADC has a preference for a COTS or transfer Solution that requires more configuration than development. Within the proposal submitted associated with this RFP, the Contractor will specify whether each requirement requires configuration, customization, development from scratch, third party software, or cannot be met. During the Joint Application Design Sessions (JADs), the Contractor must present this list with any applicable updates. Specific tasks shall include:

(1) Detailed System Design Plan

The Contractor shall develop, deliver, maintain, and execute a Detailed System Design Plan that includes:

- A description of the content and structure of the JADs
- A description of tools to be used
- A description of the use and scheduling of resources
- An approach to issue and comment tracking
- Potential training considerations identified during the JADs

(2) Joint Application Design Sessions

The Contractor shall plan and facilitate JADs detailing the proposed Solution design with Contractor and State staff. The Contractor shall record session results of all JADs including decisions and outstanding issues requiring follow-up.

(3) Systems Documentation Template

The Contractor shall develop a System Documentation template that conforms with the most current version of IEEE 12207, Standard for Information

Technology - Software Life Cycle Processes. The System Documentation template shall outline the proposed contents of the system documentation for the Solution. The System Documentation shall include system information for system administrators as well as configuration and content management documentation for application developers and content managers. Information shall include information on hardware and software, shared services and infrastructural components, and other necessary system information.

The Contractor shall describe the Solution in detail. The Contractor shall write all system and component narratives at a level understandable by non-technical persons.

(4) Design Specification Document

The Contractor shall develop a Design Specification Document (DSD) that reflects the detailed design of the full Solution as defined in the JADs. Detailed design specifications must be delivered incrementally, as they are developed for each functional area or module by release. Final approval of the DSD will occur when all JADs have been completed and the incremental detailed design specifications have been approved in their entirety. The DSD should include the following:

- A flow diagram of all functions identifying all major inputs, processes, and outputs
- A description of all software modules or functionality that compose the complete Solution
- A description of any middleware that is used to connect software modules or any dependencies between the modules
- Detailed screen and report layouts by function
- Detailed screen and report narrative descriptions by function
- Screen layouts for online, context-sensitive help screens for all Web-based components
- Site maps for all Web-based components
- A Solution Architecture Design adhering to IEEE 12207
- A Software Architecture Design adhering to IEEE 12207

(5) Interface Control Document

The Contractor shall develop, deliver, maintain, and execute an Interface Control Document that provides a description of the following:

- Inputs and outputs of each single system or services
- The interface between the two systems or services
- The interface protocol between physical components

(6) Database Design Document(s)

The Contractor shall develop, deliver, maintain and execute a Database Design Document(s) (DDD) that provide the system context and the basic database design approach, including dependences and interfaces with other databases or systems.

(7) Data Management Plan

The Contractor shall develop, deliver, maintain, and execute a Data Management Plan that describes the strategy for managing data throughout the project. The Data Management Plan shall describe data archiving and retention plans and provide the definition for the Master Data. The Plan shall include conceptual, logical, and physical models, the end-to-end data model, and operation specifications. The plan shall identify sources of data, use of data, and processes for database administration and monitoring.

(8) Disaster Recovery Plan

The Contractor shall develop, deliver, maintain, and execute a DRP and backup plan that addresses recovery of business functions, business units, business processes, human resources, and the technology infrastructure that complies with all State requirements.

The Department must be protected against hardware and software failures, human error, natural disasters, and other emergencies that could interrupt services and operations. The DRP shall include recovery from any significant interruption in service. The DRP must include strategies for backup, failover, and clustering, as well as strategies to address issues related to high availability and rapid system restoration. The DRP must be kept up to date throughout the project.

The Plan shall allow for normal State day-to-day activities and services to be resumed within eight (8) hours of the inoperable condition at the primary site(s). This applies to both application and database recovery. The Contractor must meet the SLAs (Exhibit G) regarding down time and system availability. Specifically the Solution must be available with no more than 2 hours of down time within any normal business day, which is defined as 6 a.m. to 6 p.m., Arizona Time, seven (7) days a week. In addition, the Solution cannot experience more than ten (10) consecutive outages in any given time period.

The DRP must be tested prior to implementation. The Contractor must document test results and remediate issues resulting from DRP testing. The Contractor shall test the plan annually and report all findings to ADC.

The Contractor shall work with ADC to establish and maintain, on a daily and weekly basis, an adequate and secure backup for all computer software and operating programs, databases, systems, operations, and user documentation (in

magnetic and non-magnetic form) and work with ADC to provide the backups for maintenance at a secure offsite location in an organized and controlled manner. The DRP must address the following items:

- Checkpoint and restart capabilities to ensure reliability and recovery
- Retention and storage of backup files and software
- Hardware backup for the main processor(s)
- Network backup for voice and data telecommunications circuits
- Contractor voice and data telecommunications equipment
- Uninterruptible Power Source (UPS), at both the primary and alternate sites
- Address the continued information processing, assuming the loss of the Contractor's primary processing site
- A detailed file backup plan and procedures, including a plan for the offsite storage of crucial transaction and master files; the plan and procedures shall include a detailed frequency schedule for backing up critical files and (if appropriate to the backup media) their rotation to an offsite storage facility
- Maintenance of current system documentation and source program libraries at an offsite location
- Identification of all backup processing capability at a remote site(s) from the primary site to assure that all ADC units continue to function as "normal" in the event of a disaster or major hardware problem at the primary site(s)

b) Design Deliverables

- Detailed System Design Plan
- JADs
- System Documentation Template
- DSD
- Interface Control Document
- Database Design Document(s)
- Data Management Plan
- Disaster Recovery Plan
- Updated RTM

c) Contractor Design Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.4(b)
- Develop, deliver, maintain, and execute all deliverables as defined in Section III.4(b)

- Perform prototyping where appropriate to enable State staff to review and accept designs for windows, screens, reports, or other layouts
- Demonstrate web page and module functionality through models or prototypes, as appropriate
- Develop and submit a JAD schedule for review by ADC
- Develop and distribute JAD agendas prior to each session
- Provide hardware and software to support the design sessions
- Facilitate JADs and record the results of the sessions using project control tools to manage design decisions by module or functional area and include design components not yet completed
- Conduct technical reviews and walkthroughs of the DSD Plan with ADC to verify the design, and identify and resolve any design issues or questions
- Develop and deliver Use Cases for ADC review. Use cases shall be completed for each functional area or module, with final approval by ADC Update the Business Rules Document with any changes required as part of the design session
- Provide the conceptual, logical, and physical models and associated modeling tools for the Solution
- Provide an end-to-end data model for all business processes and operational specifications
- Meet State data protection and security policies and procedures
- Ensure the State system administrator is allowed to configure data attributes
- Provide and support non-disruptive rules-based data archival and subsequent retrieval ensuring down time during archiving meets ADC approval
- Perform routine monitoring using software tools to measure the efficiency of online storage access and take corrective action as needed (including performance adjustments to equipment and software, or file placement to maximize availability, efficiency, etc.
- Manage online storage thresholds and data archives
- Maintain and monitor file directories and catalogs
- Update and maintain the RTM
- Provide a disaster recovery approach and environment enabling restoration of operations within one (1) hour from the loss of processing capability (immediate failover)
- Provide an annual review and update of the DRP through the life of the contract.
- Assist in the recovery of lost or damaged information that results from security violations through the life of the contract.
- Complete qualitative and quantitative analyses and risk mitigation strategies for each risk item identified for recovery.
- Provide disaster recovery processes.

- Provide specifics on restoration of business processes and the Solution, including the order of restoration, verification specifics and participate in post-Disaster Recovery activities.

d) State Design Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.4(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.4(b)
- Work with the Contractor to establish a schedule and location for JADs
- Provide office space for JADs
- Review and provide feedback on JAD agendas
- Provide appropriate staff to attend JADs
- Provide Contractor with information and clarification regarding interfaces and system processes, as well as State policy, regulations, and procedures
- Track policy-related changes and training impact identified during the JADs
- Work with the Contractor to resolve issues during the design activity
- Review and approve the data protection and security policies
- Review and approve or require revision of Use Cases developed by the Contractor

5. Development / Configuration

The following section provides the description, deliverables, and Contractor and State responsibilities associated with developing or configuring the Solution.

a) Development / Configuration Description

The Contractor shall be responsible for developing and configuring a Solution to meet ADC requirements. This includes building the systems and architecture for the Solution. The Contractor shall use tools and established methodologies for maintaining control of the build process. The Contractor shall be responsible for ensuring that the construction of the systems and architecture conforms to the requirements and design specifications documented and approved during requirements and design activities.

The Contractor shall establish testing strategies during the build activity to ensure the flow of testing from unit testing to acceptance testing is cohesive. This activity will begin with unit testing to verify that each basic component of the system architecture is constructed correctly and in accordance with the design specifications. Specific tasks will include:

(1) Solution Environments Plan

The Contractor shall provide development, conversion, testing, training, performance testing, pre-production (UAT), and production environments. The Contractor may be required to provide additional environments required to support the planned project activities including potentially multiple releases being worked on concurrently. ADC will work with the Contractor to establish the number of environments needed.

The Contractor shall develop a plan for building and maintaining all environments associated with the Solution. The plan shall include any assumptions regarding all hosted environments and an outline of the configuration requirements to support the set up, maintenance, and any changes of all proposed environments. The plan shall provide details and a graphical presentation of the environmental components required to test the Solution including: hardware, software, communications, and any other resources used to configure the Solution environments as well as any security considerations.

The Contractor shall build the development environment that conforms to the approved Solution Environments Plan prior to start of the design activities.

(2) Hardware and Software

The Contractor shall acquire any hardware or software required by the Solution, including licensed software, in such a manner that it may be legally used in the Solution. The Contractor shall ensure that both the hardware and software is upgradable and expandable with regular maintenance to ensure optimum performance. The Contractor must provide an unlimited number of licenses for State users for all hardware and software, including third-party software during the entire term of the contract. Licenses for hardware or software must allow for transfer to the State during Turnover activities.

(3) Master Test Plan

The Contractor shall develop, deliver, maintain, and execute a Master Test Plan (MTP) that adheres to the current version of IEEE 829, Standard for Software and System Test Documentation. The MTP shall provide an overall test plan for multiple levels of testing. The MTP shall include a Unit Test Plan, System Test Plan, Integrated Test Plan, and User Acceptance Test (UAT) Test Plan.

(4) Execute Unit Test Plan

The Contractor shall execute Unit Testing according to the approved MTP.

(5) Unit Test Results

The Contractor shall produce and deliver Unit Test Results incrementally, as they are completed for each functional area or module, and receive final approval of each by ADC.

(6) Escrow Account

ADC requires the Contractor to establish an escrow account on or before the start of operations: The escrow account must contain the following items:

- Two copies of the source code (preferably commented code) including all listing of the lines of programming and any custom developed code for the Solution for each version of the software on virus-free magnetic media, compiled and ready to be read by a computer;
- A complete copy of the executable code including table structures, data structures, system tables, and data;
- A golden master of the primary release software and every release (the current production version); Build scripts;
- Any configuration files separate from the build scripts;
- Object libraries;
- Application Program Interfaces (APIs);
- Compilation instructions in written format or recorded on video format;
- Complete documentation on all aspects of the Solution including design documentation, technical documentation, and user documentation; and
- Names and addresses of key technical employees that a licensee may hire as a subcontractor in the event the Contractor ceases to exist.

The escrow deposit materials must be shipped to the escrow agent via a traceable courier or electronically. Upon receipt of the materials, the escrow agent must verify that the contents of the deposit are in good working order and certify the same to the Department.

The escrow agency must store the materials in a media vault with climate control and a gas-based fire extinguishing system.

Each time the contractor makes a new release or updated version of the software available to customers, that version as described in above must be deposited with the escrow agent within five (5) business days from production release, and proof

of the deposit must be forwarded to the Department.

In the event that Contractor becomes insolvent, subject to receivership, or becomes voluntarily or involuntarily subject to the jurisdiction of the bankruptcy court, or if the Contractor fails to provide maintenance and/or support for the product as outlined in the contract, or the Contractor discontinues the product, the Department will be entitled to access the software source code and related items for use in maintaining the Solution either by its own staff or by a third party.

In the event that Contractor fails to provide maintenance and/or support for the product the Contractor shall ensure that ADC has access to documentation, utilities, software tools, and other similar items used to ensure that ADC is able to read or interpret their data without implementing the Contractor's complete vendor-hosted environment.

Any costs associated with an escrow account must be included in the M&O prices proposed in Attachment D.

b) Development / Configuration Deliverables

- Solution Environments Plan
- Development Environment
- Master Test Plan
- Unit Test Results
- Updated RTM
- Escrow Account

c) Contractor Development / Configuration Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.5(b)
- Develop, deliver, maintain and execute all deliverables as defined in Section III.5(b)
- Build the Development Environment according to the plan approved by ADC
- Develop, compile, and refine code for the Solution according to approved design specifications
- Use the approved configuration management process and tools described in SPMP to manage changes to the Solution components
- Execute the Unit Test Plan by conducting unit tests on every component developed or configured
- Create test databases and files
- Conduct technical reviews and audits of completed system components throughout the build process, and record problems
- Provide weekly updates and performance metrics on unit testing, as agreed

upon with ADC, in the Weekly Status Reports

- Submit results of unit testing to ADC on an incremental basis as modules or functional system units are complete; compile all results into the Unit Test Results deliverable when complete
- Resubmit unit test results as necessary
- Provide a test library where all test data is stored and allow ADC-identified staff access to view
- Demonstrate a working model for the functionality of each module or functional system unit
- Perform code walkthroughs as appropriate to demonstrate to ADC that all system functions have been completely and accurately constructed, configured, and unit-tested

d) State Development / Configuration Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.5(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.5(b)
- Review and approve the configuration management process and tools
- Review test results and approve incremental unit test completion checklists, within a mutually agreed upon number of business days after receipt
- Work with the Contractor to resolve issues during the build activity
- Attend code and configuration walkthroughs as necessary
- Approve Unit Test Results prior to start of System and Integrated Testing

6. Data Conversion

The following section provides the description, deliverables Contractor and State responsibilities associated with converting data contained in the legacy system and supporting applications into the Solution. Conversion activities and deliverables shall be conducted according to the schedule approved by ADC.

a) Data Conversion Description

The Contractor shall be responsible for planning, developing, testing, and managing the data conversion process. The Contractor shall be responsible for converting all legacy data from AIMS, standalone PC systems, and other supporting applications required for the ongoing operation of the Solution and the historical reporting needs of ADC. This data conversion includes the logical and physical data architecture, use of the data extract / transform / load (ETL) tools, and changes to current data values. The Department may, at its sole option, decide to archive a portion of the data. The Contractor must store archived data and make it accessible online to users through the Solution within an ADC-

specified period of time.

The Contractor shall use automated conversion and minimize manual intervention to the greatest extent possible. The Contractor will migrate data from the legacy systems according to conversion parameters defined by ADC.

The Contractor shall be responsible for including the development of conversion software and assisting ADC in performing manual data conversion. This activity shall include development of conversion programs and procedures, the preliminary conversion of all data, analysis of preliminary conversion, update(s) of conversion programs as determined necessary by ADC for approval, and re-conversion(s) of data as necessary. Upon ADC approval of the conversion software programs, the Contractor will produce exception reports and assist ADC in performing manual data conversion / clean-up.

The Contractor will be required to convert selected comments or text data resident in AIMS and other supporting systems to pdf files, which can be attached as documents to records in the Solution.

The Contractor shall demonstrate thorough comprehensive testing of conversion processes to ensure that all data required to support the Solution will be available and accurate.

The data conversion process will have its own life cycle and may be performed through the implementation period. The Contractor shall provide a conversion environment, in which all conversion activities will occur. The Contractor will work with ADC to determine the conversion schedule and coordinate conversion activities across all releases to ensure accurate processing in the Solution. The Contractor shall work with ADC to convert data as needed to support the implementation. The Contractor shall convert data on a schedule to support use of converted data in system test and UAT. Final conversion will be conducted during the Implementation activity. The Contractor shall work with ADC to convert data as needed to support the implementation. Specific tasks shall include:

(1) Conversion Environment

The Contractor shall develop a conversion environment that conforms to the approved Solution Environments Plan.

(2) Conversion Requirements

The Contractor shall develop, deliver, maintain, and execute conversion requirements that at a minimum identify the data sources, data type, years of history for specified data, destination, and data changes.

(3) Conversion Plan

The Contractor shall develop, deliver, maintain, and execute a Conversion Plan that describes how the Contractor plans to conduct conversion activities. The plan will cover conversion scope, approach, issue tracking, schedule, communication, resources, and environments. Conversion Detailed Specifications

(4) Conversion Detailed Specifications

The Contractor shall develop, deliver, maintain, and execute Conversion Detailed Specifications that reflect the design and approach for the conversion activity. The document shall address how conversion requirements will be validated successfully during the conversion.

(5) Data Cleanup

The Contractor shall be responsible for performing data cleanup. Data cleanup shall include executing modifications to the conversion programs, re-converting data, analyzing results, and producing reports to assist ADC in manual conversion of data as ADC determines necessary for approval. This activity shall include reconciling data that is converted from AIMS and the standalone PC applications with the Solution.

(6) Conversion Test Plan

The Contractor shall develop, deliver, maintain, and execute a Conversion Test Plan which includes the detailed description for how the Contractor will conduct conversion testing. The Conversion Plan will include conversion test cases. Conversion Test Results

The Contractor shall produce and deliver Conversion Test Results that present the conversion testing results and include both the expected and actual values of data being converted. The Contractor shall deliver a Conversion Test Defect Log and Reports. Test Defect Logs and Reports may be generated from either a commercial defect tracking tool or a Contractor-developed defect logging tool.

(7) Preliminary Converted Data

The Contractor shall produce and deliver preliminary converted data that includes before and after data images or records. The Contractor shall ensure that all required data is accurately converted without undue risk to data integrity.

(8) Final Converted Data

The Contractor shall produce and deliver final converted data on a schedule to be determined by ADC. The final converted data shall be produced to allow

implementation at a single site followed by implementation of all remaining ADC sites. The Contractor shall ensure that all required data is accurately converted without undue risk to data integrity. ADC approval of final converted data is required prior to start of operations.

b) Data Conversion Deliverables

- Conversion Environment
- Conversion Requirements
- Conversion Plan
- Conversion Test Plan
- Conversion Test Results
- Conversion Test Defect Log and Reports
- Preliminary Converted Data
- Final Converted Data

c) Contractor Data Conversion Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.6(b)
- Develop, deliver, maintain, and execute all Conversion deliverables as defined in Section III.6(b)
- Develop the conversion environment
- Work collaboratively with ADC during all conversion activities
- Schedule and conduct conversion requirements walkthrough(s) for ADC staff
- Convert data from the AIMS and other legacy system(s) according to approved conversion requirements
- Conduct testing of conversion processes prior to full conversion, and submit results to ADC for review
- Create and provide ADC access to conversion testing logs
- Correct deficiencies identified during conversion testing, preliminary conversion, and final conversion
- Provide the capability to suspend processing of erroneous transactions until the error is resolved
- Conduct data conversion with minimal interruption of day-to-day business processes
- Provide technical assistance to ADC and participate in resolution and preparation of “clean” data for the conversion process
- Modify conversion programs and assist ADC in manual conversion of data through generation of reports and other activities requested by ADC. Repeat modification of conversion programs until approved by ADC.
- Provide sentence recalculation of active cases converted based on rules defined by ADC

- Provide defaults when necessary during data conversion
- Support communications routines that use checksums or other tools to ensure accuracy of the file before it is processed
- Ensure data in AIMS and other legacy systems and the Solution remain synchronized until all conversion tasks are complete
- Provide and retain copies of all conversion programs
- Perform a number of cutover trials (as designated by ADC) potentially including impacted institution staff to practice the go-live activities to ensure a smooth transition and to exercise automated and manual processes used in the deployment and implementation
- Provide weekly updates and performance metrics on conversion testing, as agreed upon with ADC, in the Weekly Status Reports

d) State Data Conversion Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.6(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.6(b)
- Work with the Contractor to resolve issues during conversion
- Monitor Contractor progress in conversion activities
- Review conversion requirements, and participate in conversion requirements discussions
- Work with the Contractor to develop the conversion schedule
- Request technical assistance to resolve and prepare “clean” data for the conversion process
- Review and provide feedback on process for keeping AIMS and other legacy data and converted data synchronized
- Approve Final Converted Data prior to start of operations

7. Testing

The following section provides the description, deliverables, and Contractor and State responsibilities associated with testing the Solution.

a) Testing Description

The Contractor shall be responsible for testing the Contractor’s Solution to ensure that all requirements are fully satisfied. The Contractor will test the software and hardware to evaluate the Solution's compliance with defined requirements. The Contractor will perform unit, system, and integrated system testing to achieve this goal. The Contractor will be required to conduct performance testing to show the Solution meets the performance requirements defined in this RFP. The Contractor may be required to conduct parallel testing.

The Contractor will support ADC in conducting UAT. The UAT is designed to demonstrate that the Solution, as developed by the Contractor, meets ADC specifications, performs all processes according to the program business rules, passes acceptance criteria identified by ADC, and works in an integrated fashion with the shared service components. The UAT is to be conducted primarily by ADC users.

The UAT must be conducted in a dedicated, controlled, and stable environment, and may use all, or select parts of, the preliminary converted files (as determined by ADC). Specific tasks shall include:

(1) System Test and UAT Environments

The Contractor shall develop two test environments: one for System Testing by the Contractor and another for UAT by ADC. Both environments must conform to the approved Solution Environments Plan.

(2) System and Integration Test Cases

The Contractor shall develop and deliver System and Integration Test Cases for ADC review prior to testing. The Contractor shall ensure that all test cases are completed following IEEE 829-2008, Standard for Software and System Test Documentation as appropriate. System test cases shall be completed for each functional area or module, with final approval by ADC. Integrated testing shall be conducted to show accurate flow of data and information through all functional areas or modules. Test cases shall include cases for performance and load testing that match current production capabilities. The Contractor will verify and validate system capability and reliability by conducting functional, system, regression and performance tests.

(3) Execute the System and Integration Test Plan

The Contractor shall execute the approved System and Integration Test Plan as defined in the Master Test Plan.

(4) System and Integration Test Results

The Contractor shall deliver System and Integration Test Results incrementally, as they are completed for each functional area or module for ADC approval. The Contractor shall deliver a single, consolidated System and Integration Test Results deliverable for payment, which consolidates the test results for all system and integrated tests. The deliverable shall include test results for each test case showing positive results or itemization and schedule for resolving each negative result. The deliverable, including the schedule, must be approved by ADC prior to payment for the deliverable and start of UAT.

ADC requires all system and integration tests be completed without defect prior to

start of UAT unless otherwise approved by ADC.

(5) Test Defect Reports

The Contractor shall produce and deliver Test Defect Reports generated from either a commercial defect-tracking tool or a Contractor-developed defect log and progress report, for all testing activities. The Contractor shall provide ADC with access to the Test Defects Reports. The log and report shall include the following for all System, Integration, and UAT testing:

- Issue description
- Severity
- Status
- Owner
- Implementation schedule
- Past defects and their resolutions

(6) UAT Training Plan

The Contractor shall develop, deliver, maintain, and execute a UAT Training Plan. The UAT Training Plan shall include how the Contractor plans to train users on test case development, test execution, defect tracking tools, and a schedule for training prior to UAT execution. The Contractor shall execute the UAT Training Plan, and train the ADC team on preparing input data, using web screens, understanding the business rules, shared services infrastructure, and reviewing system outputs.

(7) UAT Test Cases

The Contractor shall produce and deliver UAT test cases, developed in partnership with ADC subject matter experts (SMEs). UAT test cases will test that the system meets the user requirements and business needs of the State. ADC may supplement UAT test cases provided by the Contractor with additional test cases.

b) Testing Deliverables

- System and UAT Test Environments
- System and Integration Test Cases
- System and Integration Testing
- System and Integration Test Results, including functional, technical, interface, performance, and parallel testing

- UAT Training Plan
- UAT Training
- UAT Test Cases
- UAT Defect Reports
- Updated RTM

c) Contractor Testing Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.7(b)
- Develop, deliver, maintain and execute all deliverables as defined in Section III.7(b).
- Work collaboratively with the interfacing agencies and other entities as defined in during the testing activity
- Establish and maintain a system test environment for contractor use in system and integrated testing
- Provide ADC access to the system test environment to view test cases, status of testing, and results.
- Establish and maintain a permanent UAT test environment for State-only use with UAT testing data and information
- Establish the environment that will be used during testing
- Provide a repository of all test documentation including test scenarios and results
- Make minor modifications to screens, reports, interfaces, and processes, as directed by ADC, during the testing activity
- Update the RTM after each testing activity to demonstrate that all requirements are tested forwards and backwards
- Provide a separate test team from development staff to perform testing activities
- Develop and implement system and integrated system test progress measurement metrics for the purpose of monitoring testing status. Metrics must be approved by ADC and will include, at a minimum, the cumulative status of test scenarios as well as those identified with problems and requiring retesting, those that do not require a retest, and the total population of test scenarios remaining throughout the test period
- Provide weekly updates and performance metrics on system and integrated testing and UAT in the Weekly Status Reports
- Perform system testing of all functionality, including web pages, and submit documented results to ADC for review and approval
- Perform testing of all technical requirements, including performance and stress testing under current operational loads
- Conduct parallel testing if required by ADC
- Plan, develop, and test all incoming and outgoing interfaces defined for the system during integrated system testing

- Resolve all test scenarios associated with errors and retest system components as necessary until the error is corrected prior to start of UAT
- Deliver interim system test results within agreed timeframes
- Use project control tools to formally track testing results so that ADC can manage the testing progress, problems, and resolutions by module or functional area
- Provide training to ADC's UAT team on preparing input data, using web screens, understanding the business rules engine and shared services infrastructure, and reviewing system outputs
- Track the status of problems identified by ADC during the UAT
- Correct all defects identified by ADC in UAT prior to start of operations unless otherwise approved by ADC
- Make available all UAT documentation including data and reports necessary to validate test results
- Assist ADC in implementation of the UAT with respect to generation of test scenarios, transactions, data, and files as well as analysis of reasons for unanticipated processing results
- Provide separate staff to support UAT activities
- Initiate any batch and cycle processes requested by ADC to support UAT on a schedule to be defined by ADC
- Develop UAT cases with involvement of ADC technical staff and subject matter experts

d) State Testing Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.7(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.7(b)
- Work with the Contractor to resolve issues during testing
- Monitor Contractor progress in testing
- Attend test activity deliverable walkthroughs
- Designate an ADC testing representative to answer questions, assist with prioritization activities and work with the Contractor to resolve issues related to testing
- Review and approve written recommendations for improvement by the Contractor
- Review and approve the updated RTM after each test activity
- Approve interim test results and provide written documentation to the Contractor on acceptability
- Direct the retesting activities after correction of any problems
- Use the Contractor's issue / defect tracking system to monitor the Contractor's test progress, or define necessary test reports and desired frequency of reports

- Approve the System and Integrated Test Results deliverable prior to start of UAT
- Provide Contractor access to SMEs and technical staff for development of UAT test cases
- Prepare UAT test scenarios and data based on those provided by the Contractor, and conduct UAT testing
- Coordinate resources needed for testing interfaces and web portals, including non-ADC resources
- Provide resources to work with the Contractor during system and UAT test execution to prioritize and resolve issues
- Document UAT results, provide results to the Contractor, and retest as necessary
- Require correction of UAT all test defects prior to start of UAT unless otherwise approved by ADC
- Ensure requirements map to system and UAT test cases by reviewing the updated RTM

8. Training

This section provides the description, deliverables Contractor and State responsibilities associated with training State staff on the Solution. Training activities and deliverables shall be conducted by according to the release schedule approved by ADC. Training will include classroom, instructor-led training, training the ADC trainers, and computer-based training. Online, computer-based training requirements are included in the Solution requirements in Attachment C.

a) Training Description

The Contractor is responsible for training State staff on the Solution. Training shall include managing training resources, planning training activities, and reporting of training progress. Specific tasks shall include:

(1) Training Environment

The Contractor shall provide a Training Environment that conforms to the approved Solution Environments Plan.

(2) Training Plan

The Contractor shall develop a training environment Training Plan that conforms with industry instructional design standards. The Training Plan shall address all phases of training including pre-implementation, post-implementation, M&O, and turnover. The Training Plan shall include the following:

- A plan for training business and technical personnel, including training topics, mechanisms, and duration. The plan should present the scope of

- training by user type based on the results of the Needs Analysis
- Training strategy, standards and goals
 - Training schedules
 - Training tasks, deliverables, and resources
 - Identification of tools and documentation to support training
 - Course materials
 - A description of deliverables to support initial and ongoing training including user manuals, system manuals, on-line help, and training materials for technical and non-technical personnel
 - A description of online training software and other materials
 - A training evaluation plan

(a) Needs Analysis for Training

The Contractor shall conduct a needs analysis for business and technical staff training. The Needs Analysis shall address staff's knowledge, existing skills, job roles, and responsibilities to ensure training is geared towards the correct audience. The Needs Analysis should address how the Solution will impact the State staff in their daily activities and work flows.

(b) Training Strategy

The Training Plan shall include a training strategy that allows for a variety of pre-existing staff skills and minimizes the time required away from ongoing work responsibilities. The training strategy shall address the following considerations:

- Training shall be "just-in-time" on a schedule approved by ADC
- Training shall minimize staff time away from ongoing work responsibilities
- Training should enable State personnel to operate, maintain, configure, and modify the Solution, including operation of the testing tools, supporting infrastructure, and security
- Training shall include hands-on exercises both prior to and after implementation
- Users shall be trained to the features of the system relevant to their job functions; training shall be skills-based and emphasize how to use the system to accomplish specific functional tasks and provide a high-level understanding of how the Solution works
- Training shall include training for new ADC employees during M&O
- Training shall include periodic training to keep users' skills current
- Training shall include on-demand training that users can identify the need for certain skills
- Training shall include training for upgrades and new releases to familiarize users with new or different system functionality resulting from system upgrades

(c) Training Evaluation Plan

The Training Plan shall include a Training Evaluation Plan that will detail the Contractor's method for collecting information from trainees and their managers to evaluate the effectiveness of the training. The Contractor will evaluate the effectiveness of training and update the Training Plan as needed. The Evaluation Plan shall address the following:

- Course objective(s)
- Course evaluation at the end of each course
- Trainee satisfaction
- Pre-test and post-test skills
- Impact on job performance

The Contractor shall submit copies of all evaluations to ADC on a timely basis.

(3) Instructor-Led Classroom Training

The Contractor shall provide instructor-led training to both system and business end users. The Contractor must provide implementation training prior to each area's (as defined by ADC) scheduled rollout of each module of the system. Instructor-led classroom shall include the following items:

- Training at ADC prison sites and administrative offices - The Contractor shall provide training onsite at each facility and at administrative offices in Phoenix.
- The training should begin no more than twenty (20) business days prior to implementation.
- Training Facilities – The Contractor shall coordinate with ADC regarding use of ADC facilities for training. Alternatively, the Contractor shall provide a dedicated training room, if needed, with appropriate equipment for use in training of the staff in the user of the system. The training facility should be equipped for an effective learning environment with desks, chairs, computers, tables, whiteboard, flip charts, and access to electronic information. The Contractor shall ensure setup, cleanup, attendance, testing, documentation, and course evaluations.
- Training Instructors – The Contractor shall provide at least one (1) trainer and one (1) assistant for each training session.
- Submitting Questions – The Contractor shall provide a forum to allow users to submit questions concerning system use and provide responses to those questions during the training. The Contractor shall also provide responses to follow-up questions once classroom training is complete.

(4) Train-the-Trainers

The Contractor shall be responsible for training the ADC trainers. The Contractor

shall conduct onsite trainings when any significant changes are made to the Solution. The Contractor shall work with the ADC training staff throughout all training-related planning and delivery activities.

(5) Training Materials

The Contractor shall be responsible for developing and updating all training materials. Training materials shall be provided electronically as well as a number of hardcopies specified by ADC. Contractors shall propose training materials for ADC approval and shall include such items as Instructor's Manual(s), Student manual(s), course books, exercise books, tests, evaluations, quick reference guides, and job aids. All training materials shall become the property of the State under this contract. Contractors shall provide ADC with copy and distribution rights to all training materials created for the Solution. Specific tasks shall include:

- Submitting materials for ADC approval one (1) month prior to each training session
- Modifying Training Materials to reflect the latest version of the Solution and submitting to ADC within five (5) calendar days of receipt of the identified changes or prior to any scheduled training sessions

(6) Online Training

The Contractor must provide an online hands-on tutorial capability for the major functions within the Solution as defined by ADC. This tutorial must provide basic training (no identifier) data, and allow the user to enter or modify information to simulate actual use of the Solution. The tutorial must be made a part of the final Solution so that new users will have an online tutorial to assist in learning the Solution.. Users must be allowed to click their way through the entire process, including, but not limited to:

In addition to the online tutorial, the Solution must incorporate online help, online policy and procedure manuals, and hard copy user manuals. Other online training requirements are included in the Solution requirements in Attachment C.

(7) Training Hardware and Software

The Contractor shall furnish and maintain appropriate hardware, software, and telecommunications to support the development, maintenance, and presentation of training program(s) and materials.

(8) Post-Implementation Training Support

The Contractor shall provide post-implementation training support for entire M&O period or the period specified by ADC, by conducting weekly, monthly or quarterly refresher courses in locations specified by ADC. After the specified

period, the Contractor is then expected to conduct ad hoc training, as necessary, and continue to update online training materials throughout the Contractor M&O period.

(9) Training Reports

The Contractor shall collect and report information on training activities on a weekly basis throughout the training effort. Reporting shall include the following items:

- Classes scheduled versus classes held
- Total planned to be trained versus the number completing training
- Number and category of staff trained
- Number and category of staff missing training
- Topics covered in training sessions

(a) Final Training Report

The Contractor shall develop a Final Training Report no more than three (3) weeks after the conclusion of pre-implementation, instructor-led, classroom training. The Final Training Report shall include:

- Report of completed training sessions, including topics covered, personnel invited versus attending, and reasons for non-attendance
- Analysis of pre- and post-training worker proficiency in using the Solution

b) Training Deliverables

- Training Environment
- Training Plan
- Training Materials
- Online, Computer-Based Training
- Evaluation Training Results
- Final Training Report

c) Contractor Training Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.8(b)
- Develop, deliver, maintain and execute all deliverables as defined in Section III.8(b)
- Establish and maintain a training environment
- Provide an Instructor-Led Classroom training schedule, and perform training
- Provide a Train-the Trainers training schedule, and perform training

- Develop online, computer-based training tutorial and related materials
- Develop training materials that will become the property of the State
- Provide training hardware and software to successfully train ADC on the Solution
- Develop a post-implementation training schedule for ADC approval
- Provide post-implementation training support by conducting weekly, monthly, or quarterly refresher courses in locations specified by ADC
- Collect and report information on training activities on a weekly basis throughout training activities
- Generate evaluation of training sessions and make adjustments based on findings

d) State Training Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.8(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.8(b)
- Work with the Contractor to establish a schedule and location for training sessions
- Review and provide feedback on training materials
- Provide space for training sessions at each facility and administrative offices
- Review and approve training schedules
- Identify State staff to attend training sessions
- Attend training sessions
- Review and provide feedback on training reports

9. Implementation

The following section provides the description, deliverables, and Contractor and State responsibilities associated with implementing the Solution.

Implementation activities and deliverables shall be conducted by according to the release schedule approved by ADC, but shall be consistent at all times with the design of the complete Solution, regardless of the release approach and schedule.

a) Implementation Description

The Contractor shall be responsible for deploying the Solution after successfully completing all testing activities and confirming that all Solution components, data, and infrastructure meet ADC requirements. Prior to start of M&O, ADC must officially accept the Solution and issue instructions to cut over to the new Solution. ADC requires successful completion of all system and integrated tests, and correction of all defects identified in system, integrated, and user acceptance

testing prior to start of operations, unless otherwise approved by ADC. Specific tasks shall include:

(1) Production Environment

The Contractor shall develop a production environment and any other environments required for implementation that conform to the approved Solution Environments Plan.

(2) Authority to Implement

Prior to the Solution moving into the production environment, ADC must approve the initiation of operations on the approved "go-live" date. Approval will require ADC sign-off of the Authority to Implement deliverable prepared by the Contractor.

(3) Implementation Plan

The Contractor shall develop an Implementation Plan that describes, and provides procedures for, how the Solution will be transitioned into an operational system.

(4) Contingency / Recovery Plan

The Contractor shall develop a Contingency / Recovery Plan that will include management policies and procedures to maintain or restore business and technical operations in the event of an emergency, system failure, or disaster.

(5) M&O Manual

The Contractor shall develop, deliver, and maintain an M&O Manual. The M&O manual shall provide a description of the Solution operations in the production environment, and information necessary to effectively handle routine production processing, ongoing maintenance, performance monitoring, and identification of problems, issues, and change requirements. The manual shall include:

- M&O roles and responsibilities
- Operation procedures
- Data and database administration
- Configuration management
- Description of the specific software licensing or embedded software required for the Solution, indicating the usage or redistribution of copyright protected software
- Help desk processes
- Application validation procedures
- Server start-up / shut down procedure scripts
- Server build documentation

- Contact lists

Corrective Action Plan Methodology

The M&O Manual shall identify the Contractor's Corrective Action Plan (CAP) methodology. The CAP methodology shall describe the process, contents and format for CAPs. CAPs shall include:

- Description of the problem to correct
- Owner accountable for the results
- Actions to be taken
- Deadlines
- Specific outcomes and measurement criteria
- Plan of action, including steps for mitigating system security weaknesses

(6) Quality Assurance Plan

The Contractor shall develop a Quality Assurance (QA) Plan establishing quality assurance procedures.

(7) M&O Staffing Plan

The Contractor shall develop and update on an annual basis, a staffing plan for all M&O activities. If required by ADC because of deficiencies, the Contractor must revise the staffing plan within (15) business days of notice.

(8) M&O Communication Plan

The Contractor shall update the Communication Plan established in the Project Initiation and Management activity upon implementation of the Solution. The Plan shall address protocols for maintaining open communications and responding to ADC requests within required timeframes.

(9) System Documentation

The Contractor shall update and maintain System Documentation for the Solution according to the template developed during design activities.

The Contractor must provide ADC all supporting documentation supplied by equipment or commercial software vendors.

(10) Data Use Agreement(s) / Data Exchange

The Contractor shall assist ADC in providing information that is required to develop agreements between parties for the use of personal identifiable data, and to ensure secure data exchange as applicable, including development of data

exchange matrices to identify and categorize the data environment and required level of security.

(11) Operational Readiness Assessment Report

The Contractor shall develop an Operational Readiness Assessment that assesses the Solution's readiness for full production use. This shall include assessment of the end-to-end bandwidth required from the hosting environment to the field, in order to provide for site preparation and adequate network resources. The Operational Readiness Assessment shall include a facility readiness assessment for all ADC facilities to begin operations under the Solution.

(12) Post-Implementation Operational Monitoring Plan

The Contractor shall develop a Post-Implementation Operational Monitoring Plan that includes methods and schedules for monitoring performance standards and assess security during operations.

(13) Service Level Agreements

The Contractor shall agree to SLA requirements that establish clear relationships between ADC and the Contractor, set service goals, and provide a framework for continuous analysis and improvement. The SLAs establish key performance indicators (KPIs) that ADC will use to assess the Solution and Contractor services.

(14) Privacy Impact Assessment

The Contractor shall prepare a Privacy Impact Assessment of the Personally Identifiable Information (PII) that is contained within the Solution. The Contractor will identify PII and how that information is used and protected according to State and Federal requirements. PII is defined by SISPO P900-E901, Data Classification Matrix, effective May 31, 2011 as follows:

CI - Types of Information:

Personal Information obtained for state use (e.g. personnel applications or other purposes of identification): Includes full date of birth, physical description, ethnic origin, information protected by the Arizona and federal disability laws, marital status, religion, sexual orientation/gender, employee home address and telephone number, personal history information, mother's maiden name.

(See ARS Title 41, Chapter 9, Articles 3 and 4, ARS 41-1441, et seq; ARS 41-1461), and the federal Privacy Act. See also the AGO Agency Handbook).

PHI is defined according to 45 CFR 164.501, 45 CFR Part 164.512(k)(5), and 45 CFR 164.514(a)(2)(i) and (ii). Note that the ADC is a non-covered entity.

The Contractor shall include in the assessment its approach and procedures for mitigation should PII or PHI be accessed inappropriately.

(15) System Security and Privacy Plan

The Contractor shall develop, deliver, maintain and execute a System Security and Privacy Plan. The Contractor shall review and update the System Security and Privacy Plan annually. The plan shall address how the Solution will prevent unauthorized physical and network access.

The Contractor shall be responsible for ensuring that the Solution meets all industry, State, and federal security standards. Once established, no security provisions for firewalls, client and server computers, and user profiles and controls shall be modified without written State approval. At a minimum, the Contractor shall ensure the security of the Solution follows the following Federal regulations and publications:

- Standards defined in Federal Information Processing Standards (FIPS) issued by the National Institute of Standards and Technology (NIST)
- National Institute of Standards and Technology (NIST) Special Publication 800-111 Storage Encryption Technologies for End User Devices
- NIST SP 800-52, 800-77 or 800-113 Valid encryption processes for data in motion
- NIST Cryptographic Module Validation List (<http://csrc.nist.gov/groups/STM/cmvp/validation.html>)
- FIPS PUB 112 Password Usage Procedure
- FIPS PUB 186-3 Digital Signature Standard June 2009
- Records Usage, Duplication, Retention, Re-disclosure and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(1)(F), (H) and (I)
- IRS Pub 1075
- Federal Records Retention Schedule 44 U.S.C. 3303a
- Privacy Act of 1974 at 5 U.S.C. 552a
- Computer Matching and Privacy Protection Act of 1988 (CMPPA)
- Federal Information Security Management (FISMA)
- SSA Information System Security Guidelines for Federal, State, and Local Agencies
- 42 CFR Part 2 - Confidentiality of Alcohol and Drug Abuse Patient Records
- Family Education Rights and Privacy Act (FERPA) 20 U.S.C. § 1232g; 34 CFR Part 99
- NIST SP 800-88 Media Sanitization
- SP 800-53A Guide for Assessing the Security Controls in Federal

Information Systems

- 45 CFR § Parts 160, 162, and 164 as amended by HITECH of 2009 and the HIPAA Omnibus Rule of 2013
- 45 CFR § Part 170, Health Information Technology Standards, Implementation Specifications, and Certification Criteria and Certification Programs for Health Information Technology

The Contractor shall ensure adherence to other standards, regulations, and publications as required by ADC.

(16) Information Security Risk Assessments

The Contractor shall provide an Information Security Risk Assessment, which shall identify risks and possible mitigation strategies associated with information security components and supporting infrastructure.

(17) Security and Privacy Reports

The Contractor shall implement processes for ensuring only authorized personnel access data. The Contractor shall provide a process for reviewing and updating access rights on a regular basis. The Contractor shall provide audit reports for tracking users, associated security groups, roles, settings, passwords and duplicate IDs. ADC will determine the frequency and content of security audit.

The Contractor shall provide ADC a report of any incidents of intrusion and hacking regardless of outcome. The Contractor shall ensure a timely and reliable process for security breach notification to the appropriate entity. The Contractor shall alert appropriate staff authorities of potential violations of privacy safeguards, such as inappropriate access to confidential information.

In the event of an incident of intrusion, the Contractor shall initiate corrective actions within timeframes approved by ADC. Offerors' proposals shall present their approach to mitigation of breaches to ensure breach will not occur again if it is within the selected Contractor's scope of responsibility. Preparing and retaining documentation of breach investigations and providing copies to ADC within twenty-four (24) hours of detection of the breach.

ADC requires the Contractor to maintain network security (Cyber) and privacy insurance of \$10 million annually.

(18) NIST 800-53 Security Control Mapping

The Contractor shall develop, deliver, maintain, and execute a mapping of all implemented security controls against the NIST 800-53 Security Control Catalog. The mapping shall identify the source of the requirement and whether the requirement is fully or partially implemented, or is planned to be implemented.

(19) Post-Implementation Evaluation Report

The Contractor shall develop and deliver a Post-Implementation Evaluation Report. The report shall include that status of all functionality required to meet the requirements described in Attachment C as finalized in the design and testing activities. The report shall provide a CAP plan and timeline for correction for any functionality that does not fully meet requirements.

b) Implementation Deliverables

- Production Environment
- Authority to Implement
- Implementation Plan
- Contingency / Recovery Plan
- M&O Manual
- System Documentation
- Data Use Agreement(s)
- Operational Readiness Assessment Report
- Post-Implementation Operational Monitoring Plan
- Privacy Impact Assessment
- System Security and Privacy Plan
- Information Security Risk Assessment
- Security and Privacy Reports
- NIST 800-53 Security Control Mapping
- Post-Implementation Evaluation Report
- Updated RTM

c) Contractor Implementation Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.9(b)
- Develop, deliver, maintain and execute all deliverables as defined in Section III.9(B)
- Establish and maintain a production environment and any other environments required by ADC
- Work collaboratively with the ADC during implementation
- Provide weekly reporting of response times, problems encountered, and solutions
- Provide ADC-authorized entities access to source code, libraries, and other project artifacts
- Provide ADC-authorized entities read access to all databases
- Develop an implementation schedule for ADC approval
- Record and track identified user problems
- Operate and manage help desk operations during testing and

implementation

- Perform final conversion and review conversion reports to demonstrate successful conversion; use converted data upon implementation, and provide for necessary temporary conversion of data, using crosswalks if applicable
- Identify and report any implementation issues to ADC
- Work with ADC, interfacing entities and other contractors to ensure appropriate system and business interfaces to successfully meet the implementation requirements
- Conduct orientation and training for State personnel on Contractor organization, functional responsibilities for software maintenance, and operational procedures
- Provide a final operational readiness certification based on an operational readiness assessment, including results of the integrated system test, UAT, and an assessment of the final operational readiness of Contractor staff to maintain the system software in conjunction with the shared services and enterprise architecture
- Monitor the initial operation of the Solution to ensure that there are no immediate or ongoing adverse effects on the ability of ADC or contracted workers to conduct business processes
- Report on post-implementation issues and successes
- Ensure the security of all State documents and data
- Develop, maintain and execute procedures for accessing and protecting necessary electronic Personally Identifiable Information (PII) and Protected Health Information (PHI) contained in the system; track disclosures of PHI; provide authorized users access to, and reports on the disclosures
- Provide security administrative rights to ADC and State security administrator(s) for the purpose of adding, updating, and deleting security access
- Provide for backup processing capability for all critical system components at the Contractor's remote site
Perform a backup / restore demonstration and, if necessary, repeat the test until successful at no cost to ADC
- Maintain an operational backup power supply capable of supporting vital functions at the primary site
- Prepare a records retention schedule for State approval

d) State Implementation Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.9(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.9(b)

- Provide quality assurance and monitoring of Contractor implementation activities
- Provide State resources to support implementation
- Review and approve implementation schedule
- Review and approve the Authority to Operate prior to start of operations

10. Maintenance and Operations

The following section provides the description, deliverables, and Contractor and State responsibilities associated with performing Maintenance and Operations (M&O) of the Solution.

a) M&O Description

The Contractor will initiate M&O upon the approved start of operations for all or any modules of the Solution and will perform M&O through June 30, 2023. ADC may exercise its option to extend Contractor M&O activities at its sole discretion for two five-year periods. ADC may terminate the contract at any time in the contract term by providing the Contractor with one year notice as specified in Section III.A of this RFP.

The Contractor shall be responsible for the maintenance and operation of all hardware and software during the contract period. Ownership of all hardware and software licenses must transfer to the State on or before the end of the contracted M&O period.

Contractor M&O support for the Solution will include the following:

- **Operations** - The Contractor shall provide qualified personnel, resources, and supplies to support the operation of any module or functionality of the Solution that is implemented to meet the SLAs defined in the contract.
- **Maintenance** - Maintenance shall include supporting the Solution once any module or functionality is implemented at any ADC sites.

Maintenance shall include:

- Activities necessary for the Solution to perform efficiently under the standards and conditions for which it is approved
- Activities necessary to ensure that all data and programs are current, and errors and defects are corrected
- Activities necessary to meet new or revised Arizona or federal requirements
- Implementation of edits and audits required to meet Arizona and federal requirements
- Changes to established report, screen, or database formats, such as sort sequence, new data elements, or report items
- Addition of new values and changes to existing system tables and reference tables, and conversion of prior records as necessary

- Activities related to file growth and partitioning
 - Data and file maintenance activities for updates to all databases and files
 - Ongoing activities to ensure system tuning, performance, response time, database stability, and processing
 - Changes to the job scripts or system parameters concerning the frequency, number and media of reports
 - Updates to software, operating systems or other system components requiring version updates, manufacturer “patches,” and other routine manufacturers’ updates to software
 - Maintenance of security for user accounts
 - Responses to production problems and emergency situations according to ADC-approved guidelines
 - Investigation and correction of batch job failures and defects
 - Repair of jobs scheduled or run incorrectly, problems due to system hardware or software failures, problems due to operator/scheduler error, problems due to program or control language errors, security problems, corrupted files or databases, documentation or problems due to jobs run with incorrect data
 - Response to “emergency requests” which are problems having a significant impact on the end user’s ability to perform their job. These requests will require “emergency fixes” and shall be resolved within 24 hours of notification.
- **Modifications** - ADC may request modifications or enhancements to the Solution throughout the term of the contract. The Contractor shall perform software modifications for all components of the Solution following completion of implementation activities and approved start of operations, as requested by ADC.

System and software upgrades available to all users/owners of the Solution shall not be considered as modifications and shall be available to the State without additional cost. Software and system upgrades are considered part of M&O.

The Technical Team Manager shall serve as the primary liaison between the modification team resources and ADC staff for all system changes.

Specific M&O tasks shall include:

(1) M&O Status Report

The Contractor shall produce a monthly M&O Status Report. The Contractor will propose the content, format, and frequency of these reports for ADC approval. M&O Status Reports will include the following:

- **Operations Performance** - Information that demonstrates the

Contractor's compliance with applicable Key Performance Indicators (KPIs) and Service Level Agreements (SLAs).

- **Modification Hours** - Modification hours expended by week, Work Request, staff member, including subtotals and totals.
- **Problems** - Any problems identified, the proposed repair or remedy, impact of the repair or remedy, and the mitigation strategy implementation date.

(2) M&O Status Meetings

The Contractor will negotiate the schedule, format, and frequency of regular status meetings with ADC. The Contractor will provide:

- An overview of Solution performance and resolution to any issues
- The status of all Service Requests, maintenance, and modification activities; this will include reporting of progress against schedules, proposed schedule revisions, specific details on Service Requests, and review of deliverables.

(3) M&O Manual Updates

The Contractor shall update the M&O Manual to reflect the results of the approved Post-Implementation Evaluation Report within ten (10) business days of approval.

(4) Monitor Key Performance Indicators (KPIs)

The Contractor must monitor performance against ADC-specified Key Performance Indicators (KPIs) in the SLAs finalized in the contract. Upon request, the Contractor will provide ADC with all reports and data used in the determination of SLA compliance and calculation of KPI metrics. If a KPI is not met, the Contractor must notify ADC within specified time frames and provide a written CAP that describes:

- The missed KPI
- Full description of the issue
- Cause of the problem
- Risks related to the issue
- The resolution, including any failed solutions implemented prior to resolution
- Proposed corrective action going forward to avoid future issues

Upon receipt of the report, ADC may request a follow-up meeting to discuss the issues and corrective actions. The Contractor will implement the CAP upon ADC approval.

Prior to start of operations, ADC and the Contractor will review all KPIs to determine if revisions are needed. Similar reviews will be held annually, upon the implementation of a change that impacts existing KPIs, or at the request of ADC.

ADC and the Contractor agree that failure by the Contractor to perform in accordance with established KPIs results in a loss to ADC. If the Contractor fails to meet the KPIs, ADC may retain a percentage of the total monthly payment as agreed in contract. Retained amounts will be deducted from monthly payments for M&O.

(5) Problem Management

The Contractor shall manage Solution problems during M&O. The Contractor shall provide software tools to track each defect from identification through correction and testing. The Contractor shall make the initial categorization of errors and resolve errors as follows:

- **Priority 1 Errors.** *Critical business impact.* Indicates Solution is unavailable for use resulting in a critical impact on operations. Requires notification of ADC within one (1) hour of problem discovery and resolution within two (2) hours.
- **Priority 2 Errors.** *Serious business impact.* Indicates serious production issues where the Solution is usable but is severely limited, and no workaround exists. Requires notification of ADC within one (1) hour of problem discovery and resolution within twenty-four (24) hours.
- **Priority 3 Errors.** *Significant business impact.* Indicates moderate production issue where the Solution is usable and a workaround is available (not critical to operations). Requires notification of ADC within one (1) hour of problem discovery and resolution within five (5) business days.
- **Priority 4 Errors.** *Minimal business impact.* Indicates the problem results in little impact on operations or there is reasonable circumvention of the problem. Requires notification of ADC within one (1) hour of problem discovery and resolution within an agreed-upon schedule between the Contractor and ADC.

ADC shall have final approval over categorization of errors.

(6) Release/Deployment Management

The Contractor shall be responsible for performing Release/Deployment Management for the Solution. The Contractor is responsible for defining and managing the processes, systems, and functions to package, build, test, and deploy a release into production. The Contractor shall ensure the following:

- All software and hardware releases are planned and approved by ADC

- Releases are delivered on-time delivery according to the most recently approved work plan
- Version upgrades are applied in a controlled manner to prevent disruption to users
- ADC is informed when emergency security patches are made available, and the Contractor develops a plan to apply those patches as soon as possible following plan review and approval by ADC. In the case of true emergency security patches, the Contractor shall provide ADC with notice prior to system shutdown and a list of patches/updates applied afterwards.
- There is a capability to roll back data and software releases or programs as requested by ADC

(7) Regulatory Compliance

The Contractor shall ensure that all Solution M&O support components acquired through this procurement are fully compliant with State and federal requirements in effect as of the date of contract signing and with any changes that subsequently occur, unless otherwise noted.

(8) Internal Quality Assurance

The Contractor shall monitor operations to ensure compliance with ADC-specific performance requirements. The Contractor will work with ADC to identify quality improvement measures that will have a positive impact on the business workflow. Quality assurance includes providing automated reports of operational activities, quality control sampling of specific transactions, and ongoing workflow analysis.

(9) Resource Capacity Utilization and Capacity Planning

The Contractor shall be responsible performing resource capacity utilization and capacity planning for the Solution. The Contractor shall implement needed expansions of hardware and network at the Contractor's own expense, subject to ADC approval, before resource degradation impacts Solution performance through the life of the contract.

(10) Application Support

The Contractor shall perform application support for the Solution to keep it operating as expected including but not limited to the following services:

- Monitoring and reporting system performance
- Investigation as to why data was not processed
- Monitoring and reporting computer resource usage
- Preparing and participating in application system problem review meetings

- Creating special holiday, year-end, and production calendar schedules
- Preliminary investigation of problems not identified by customer
- Environments support
- Ad hoc schedule changes
- Data resource management
- Mass changes
- Business rules changes

All other application support services shall be performed on a daily (and/or as needed) basis.

(11) Audit Support

The Contractor shall support and provide assistance with any State and federal audits as ADC requests.

(12) User Support

The Contractor shall provide user support that includes direct support of the end user for technical questions and issues that cannot be handled by ADC Network Services. Specific support services shall include:

- Informal user training
- System broadcasts
- Answering customer questions about the application
- Preliminary investigation into possible problems identified by customer
- Investigating and ensuring user access to application system
- Ad hoc reporting
- Customer-requested updates to data in database tables
- User Manuals development and maintenance
- Online User Aids
- Help Desk

User Manuals

The Contractor shall develop, deliver, maintain User Manuals that describe how to use the Solution from a business function perspective, including the following:

- General walkthrough of the Solution from the initiation through exit
- Graphical depiction of the equipment, communications, and network configuration of the Solution in a way that a non-technical user can understand
- Description of the different users and the restrictions placed on system accessibility for each

- Detailed description of the procedures necessary to access and exit the Solution
- Description of the organization of the Solution and the navigation paths to the main functions and features
- Description of each user function or feature explaining the characteristics of the required input and system-produced output
- Description of all recovery and error correction procedures, including error conditions that may be generated and corrective actions that may need to be taken

Help Desk

The Contractor shall provide a centralized Help Desk service as a primary point of help for ADC's users relative to the implementation and operation of the Solution. The Help Desk shall be established, tested, and approved by ADC prior to start of the UAT.

At system implementation, the Contractor must handle help issues related to the application, data, and Solution implementation. Issues not related to the application, data, and implementation of the Solution will be forwarded to the appropriate ADC contact. The Contractor must perform the following activities:

- Develop a Help Desk Guide with help desk processes and scripts to support the new application, data, and workflow
- Communicate the Help Desk processes to ADC Network Services staff
- Staff the Help Desk during the following hours during implementation and initial maintenance and operations (to be determined by ADC):
 - Extended hours on Monday through Friday from 6 a.m. through 10 p.m.
 - Weekend hours on Saturday and Sunday from 6 a.m. from 6 p.m.
 - On-call support during all other hours for coverage 24 hours per day

Offerors shall propose their approach to staffing the Help Desk in their proposals for ADC evaluation and consideration.

- Perform the following tasks:
 - Implement a "triage" process to determine criticality of request
 - Perform initial investigation, impact assessment, and prioritization on all requests
 - Handle routine customer service requests (CSRs) such as logon id, password, and security profile issues immediately (within 15 minutes) during the formal post-implementation period for each office. This may also be done by onsite support personnel

- Handle routine CSRs such as logon id, password, and security profile issues within two hours after the formal post-implementation period for each office has ended
- Forward non-Solution related issues to the appropriate ADC contact
- Forward CSRs that cannot be resolved immediately to the appropriate staff, and, if possible, develop and communicate end user workarounds for such requests
- Capture and track help desk CSRs (i.e., “tickets”)

Online User Aids

The Contractor shall produce Online User Aids including help topics and channels (pop-up text, audio, video recording, etc.). The Online User Interface Guide must link to ADC policy to allow the user to identify the policy or regulation.

At a minimum, the Online User Aid shall include the following:

- Features most used in the proposed Solution
- Features most difficult to understand
- Potential issues most significant to the end user
- Features that cause the most calls to a Help Desk
- Features that would potentially result in less training required, supplementing the training already received
- Simulations to help the end-user complete a task

The Contractor must develop, test, implement, and provide post-production support for online help. The Contractor is expected to update online materials regularly, based on changes to the Solution, policy and feedback received from the end users.

(13) Contractor Workspace and Hosting Environment/Facility

The Contractor shall provide local office space for its staff as required during implementation, maintenance, and operations associated with this RFP. ADC will provide space for staff during meetings, sessions, training, and other joint activities. If the Contractor obtains office space, the following requirements apply:

- The Contractor must ensure control of physical access to the office space and that only authorized persons are admitted into the facility.
- Visitors and messengers entry and exit into the workspace must be logged by visitor name, agency represented, date, time of arrival and departure, name of individual contact.

- All workspace shall be protected against intrusion during non-working hours with appropriate surveillance alarm or system.
- The Contractor shall ensure that the State's third-party auditors have security access at the selected Contractor's work space as authorized in writing by ADC.
- Any communication switches and network components outside the central computer room shall receive the level of physical security necessary to prevent unauthorized access.
- All Contractor staff shall abide by the State's security policies and procedures such as connecting equipment or other devices to the State's data network.
- No non-State owned computers shall be attached to any State network without prior permission and assurances that the State security standards are met. Commercially available diagnostic tools, State-owned PCs or other equipment as necessary to diagnose and resolve incidents may receive a blanket approval for use on the network.

(14) Service Requests

The Contractor shall be responsible for identifying, preparing classifying, assigning priorities, and submitting Solution Service Requests (SRs) to ADC for approval, which conform to the current version of IEEE 1219, Standard for Software Maintenance. ADC may also submit SRs to the Contractor. Once a SR is received, ADC will classify as either a maintenance or modification effort. Examples of modification activities include:

- Implementation of capabilities not specified in this RFP or not agreed to during design and development
- Implementation of edits and audits not defined in the approved design or currently operating Solution
- Activities necessary to meet new or revised Arizona or federal requirements
- Changes to established report, screen, or database formats, such as sort sequence, new data elements, or report items

The Contractor will document and log SRs for review at the weekly meetings. The Contractor will maintain an online tracking system of all SRs that provides a detailed description of the effort as well as the status from submittal through implementation and documentation. The Contractor will maintain a summary log, updated weekly, of all SRs, as specified by ADC. The report and online tracking will be available online by both ADC and Contractor staff.

(15) Modification Service Requests (MSR)

The Contractor shall be responsible for implementing service requests that ADC

has identified as a “Modification.” The Contractor must follow the following process for implementing an MSR:

Modification Service Request Impact Assessments

The Contractor shall provide an Impact Assessment of each MSR within five (5) business days after submittal. The Impact Assessment will include a feasibility analysis that conforms with IEEE 1219, Standard for Software Maintenance. Upon receipt of the Impact Assessment, ADC will approve, require revisions, or request additional information from the Contractor.

Work Plan and Schedule

The Contractor shall develop, deliver, maintain, and execute a Work Plan and Schedule for each ADC-approved MSR. The Work Plan and shall include:

- Tasks and subtasks, including dependency tasks to the level the Work Plan is managed by the Contractor
- Milestones and milestone reviews
- Resource loading - number, level, and type of staff summarized for each task and subtask to the level it is managed
- Estimated effort for each task at the level it is managed
- Gantt chart showing planned and actual start and end dates for tasks and percentage complete to the level it is being managed
- Identification of critical path activities
- Timeframes for ADC review and comment for deliverables and milestones, and subsequent timeframes for Contractor correction.

Design Document

The Contractor shall be responsible for providing a Design Document upon ADC approval of all SRs and Impact Assessments. The Design Document shall include an updated design baseline. ADC approval of the Design Document will be required prior to start of work on an MSR.

Updated Test Plans

The Contractor shall develop and execute a Test Plan that incorporates each affected software module affected by ADC-approved MSR. The test plans shall conform to IEEE 1219, Standard for software maintenance and address unit, system, and UAT.

Test Results

The Contractor shall submit Test Results to ADC for approval, and update all related documentation and requirements based on ADC-approved test results.

Implementing Modifications

The Contractor shall implement (move to production) modifications only after ADC approval of the test results.

(16) Maintenance Service Requests (MnSR)

The Contractor shall be responsible for implementing service requests that ADC has identified as maintenance through an MnSR.

Corrective MnSR

It is ADC's intent to limit Corrective Maintenance fixes to correct data or functionality not working per requirements. ADC intends to bundle corrective MnSRs together. The Contractor is expected to collect these corrective MnSRs, and implement them in a monthly maintenance patch release. Non-emergency corrective maintenance requests should be completed in the next production software release.

Adaptive MnSR

Adaptive MnSRs address upgrades to the Solution due to technical changes to system components to keep it maintainable, including:

- Upgrades or patches of application server, operating system, or other Solution software
- Software modification and upgrades necessary because of expiring Contractor support
- Hardware, database, or application conversions that do not modify user functionality
- File moves (from one device to another) due to hardware swaps
- One-time loads or reformats of user data (due to upgrades)
- Report distribution changes

ADC intends to bundle adaptive MnSRs together. The Contractor is expected to collect these adaptive MnSRs, and implement them in a monthly maintenance patch release. Adaptive MnSRs related to report distribution can typically be completed independent of a production release and completed on a more frequent basis.

All Solution patches/releases/updates should follow the approved Release Management Plan.

(17) System Documentation Maintenance

The Contractor shall be responsible for providing to ADC complete, accurate, and

timely documentation related to the Solution. The Contractor shall update Systems Documentation within ten (10) business days of major changes or as required by ADC.

As part of each development cycle, the Contractor must update System Documentation to incorporate all system enhancements and modifications that have resulted from the completion of deliverables in that deliverable activity.

The Contractor must use version control to identify current versus historical documentation. All documentation must be provided in electronic form, made available online, and include version numbers and modification dates. All previous versions must be available and viewable online and on demand. The Contractor will maintain standard naming conventions in the documentation.

(18) Contractor's Preventive Maintenance

The Contractor shall perform preventive maintenance activities that improve the performance of the application, as well as investigate and fix potential problems that have not yet occurred. Preventive maintenance includes the following services:

- Improving the performance, maintainability, or other attributes of an application system
- Data table restructuring and re-indexing
- Data purges to reduce or improve data storage
- Run time improvements
- Replacing utilities to reduce run time
- Potential problem correction
- Data set expansions to avoid space problems

It is ADC's intent to perform (release) preventive maintenance changes in a monthly production release or, for major changes requiring a more significant time to develop, test, and implement, the changes shall be included as part of a larger development release.

(19) System Availability

The Contractor must provide an ADC-approved automated tools to measure and report network downtime (unavailable time) and response time. The network response time is measured from the time the transaction is entered until all data is displayed on the screen or print process begins. Network response times are outlined in the performance standards will be finalized in the KPIs and SLAs in the contract. An application is considered unavailable when a user does not receive a complete, correct full-screen response to an input transaction after depressing the "enter" key or another specified function key.

The Contractor must report service level indicators from ADC applications to indicate availability of the selected application, plus an exception log identifying those applications that were not available during the reporting period. The Contractor will include the calculation of user access availability in the report. The frequency, content, and methodology for the reports must be approved by ADC. The Contractor may schedule maintenance during the approved ADC maintenance windows.

(20) Quality Control

The Contractor shall monitor the implemented Solution for quality control and verification that all activities are functioning properly. The Contractor must expeditiously repair or remedy any function that does not meet standards set during Solution definition, design, and testing. When system modifications are moved to the production environment, the Contractor must monitor the move and inform ADC within one (1) hour of any significant problem that would indicate a possible need to execute the back-out plan.

After system implementation, ADC expects new code updates to be released to production users weekly or less frequently as determined by ADC.

b) M&O Deliverables

- M&O Status Reports
- M&O Status Meetings
- M&O Manual Updates
- Service Requests
- CAPs
- Modification Impact Assessments
- Modification Work Plan(s)
- Modification Design Documents
- Modification Test Results
- Monthly Maintenance Patch Releases
- Updates to System Documentation

c) Contractor M&O Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.10(b)
- Develop, deliver, maintain and execute all deliverables as defined in Section III.10(b)a)
- Maintenance responsibilities include:
 - Repair defects
 - Perform routine maintenance on reference files
 - Complete or repair functionality that did not function properly at

system implementation

- Make additions and modifications to business rules
- Add users to security levels of access
- Notify ADC immediately of any unscheduled downtime
- Formally request approval for scheduled maintenance periods
- Identify changes to business processes required as a result of fixes or other maintenance
- Provide qualified systems staff to perform enhancements and modifications in a timely manner according to priorities set by ADC
- Ensure that the use of acronyms and codes are consistent with windows, screens, reports, and databases or data dictionaries
- Update System Documentation, user manuals and operating procedures within ten (10) business days of implementation of a fix or other maintenance or as specified by ADC. Changes to reports resulting from systems changes must accompany the first production of the report
- Provide data model documentation for accommodating new fields as part of upgrade strategy throughout the life of the contract
- Monitor Key Performance Indicators (KPIs)
 - Monitor performance against KPIs in the SLAs documented in the contract
 - Provide ADC with data to determine SLA compliance and calculation of KPI metrics
 - Develop CAP's for all missed KPIs
 - Implement the plan identified in the CAP once approved by ADC
 - Provide documentation to ADC demonstrating that the corrective action is complete and meets ADC requirements
 - Recommend changes to KPIs if revisions are needed
 - Appropriately size hardware to handle the State's transaction traffic and volume at ADC-accepted performance levels
 - Inform ADC when a system deficiency is identified according to the priorities defined in the SLAs documented in the contract
 - Perform all activities relative to the correction of deficiencies within the timeframes stated in this section
 - Correct all errors and discrepancies found in the operational system at no additional charge for computer or human resources
 - Use automated application and network performance measuring tools for proactive system monitoring, tuning mechanisms, reporting, and trend analysis; ensure performance monitoring alerts are configurable and allow for user notification using multiple communication methods
- Submit SRs when operational problems occur within the timeframes specified in the SLAs and KPIs finalized in the contract
- Monitor the Federal Information Security Management Act (FISMA) and Federal Risk and Authorization Management Program (FedRAMP) for emerging standards for overall and cloud security to ensure applicable

controls are incorporated in the proposed Solution

- Review system and network access logs on a daily basis
- Support MSRs and MnSRs as follows:
 - Prepare and submit SRs and suggestions for system changes
 - Propose categorization of each SR as a defect or enhancement and indicate the severity of the defect
 - Update documentation to reflect changes
 - Provide an online tracking tool for ADC and Contractor to use to track and generate reports on the progress of all SRs
 - Train ADC staff on changes resulting from systems changes resulting from modification and maintenance efforts
 - Maintain adequate staffing levels to ensure SRs are completed within the specified timeframe determined by ADC
 - Provide consultation to ADC in the identification of deficiencies and maintenance and the development of SRs
 - Maintain and provide access to all changes made by ADC or the Contractor to each SR, identifying the following the change description date and time and the person making the change
 - Identify additional technical requirements to support changes based on system dependencies
 - Perform systems tests on all MSRs and MnSRs unless exceptions are approved by ADC. Systems tests shall include unit testing, functional testing, regression testing using automated regression testing tools, and support ADC's UAT
 - Maintain documented version control procedures that include the performance of regression tests whenever a code change or new software version is installed, including maintaining an established baseline of test cases, to be executed before and after each update, to identify differences
 - Provide the ability to copy production system data to a test environment, as needed for testing
 - Maintain documented and proven procedures for code promotion of modifications from the initiation of unit testing, through the final implementation, to production
 - At ADC's option, assist in the performance of UAT
 - Produce SR Reports that are downloadable to other formats such as Excel
 - Verify the successful implementation of fixes or other maintenance effort by monitoring accuracy of processing and correction of any problems
- Provide recommendations for performance improvements and system enhancements to gain overall efficiencies based on trend analysis; make other suggestions based on industry standards and best practices
- Track and report on remediation and rebuild to satisfy defects, bugs, and issues identified and resolved. If rework hours appear to jeopardize on-

time release delivery, the Contractor shall present a written mitigation plan to ADC, including the provision of additional resources at no additional cost to ADC

- Provide quality control and assurance reports, including tracking and reporting of quality control activities and tracking of corrective action plans

d) State M&O Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.10(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.10(b)
- Determine the priority for Contractor completion of system maintenance and modification activities
- Monitor Contractor operations on an ongoing basis
- Perform UAT on modifications, if desired
- Provide signoff that maintenance is approved
- Facilitate coordination of activities involving multiple State staff, contractor staff, agencies or other entities
- Attend regular meetings with ADCs and provide feedback
- Review and approve changes to KPIs; request supporting reports and data
- Review Contractor compliance with performance KPIs and SLAs
- Designate each SR as a maintenance or modification activity
- Submit SRs identified by State staff to the Contractor
- Review notices of proposed SRs submitted by the Contractor
- Review and approve all SRs and suggestions for system changes
- Approve changes to the testing methods and tools
- Review and approve the information to be captured in MSR Reports
- Review SR reports and provide feedback
- Consult with the Contractor on quality improvement measures and determination of areas to be reviewed

11. Turnover

This section describes the Contractor's responsibilities for transfer of the Solution from the Contractor to ADC at the end of Maintenance and Operations or upon termination of the Contract. ADC may exercise its option(s) to extend the M&O period of the contract and delay Turnover activities for that period, which would extend the M&O period through June 30, 2023. Turnover activities will overlap with M&O activities of the contract.

a) Turnover Description

The Contractor shall be responsible for planning the turnover of the Solution to

ADC or a designated agent at the conclusion of the M&O period upon notification from ADC. ADC must approve the turnover plan and approach, including all updates.

All hardware, software, data, supplies and documentation developed, procured, or managed by the Contractor shall be transferred to ADC. The Contractor will be required to attest that the supplied components and materials are current, accurate and complete. The Contractor shall maintain staff throughout the Turnover Period to satisfy and maintain compliance with all performance standards and contract requirements. Turnover activities include the following:

- Planning for the Turnover
- Executing the Turnover Plan
- Knowledge Transfer for Turnover
- Cutover and Finalizing the Turnover
- Finalizing the Turnover

(1) Turnover Plan

The Contractor shall develop, deliver, maintain, and execute a Turnover Plan. The plan shall define the resources, staffing, training, and tasks for successful transfer of M&O of the Solution to ADC. The plan shall address how the Contractor turnover activities will help ADC assume responsibilities at the performance levels in the SLAs or the level delivered by the Contractor. The plan shall propose the following for ADC approval:

- Procedures to identify and verify all software, data, documentation and miscellaneous supplies that will be transferred to ADC including:
 - All hardware specifications
 - All software, including custom-developed code and COTS systems purchased, developed, or managed by the Contractor in delivery of this Contract
 - All data and information repositories such as databases, system files, data files, archives, or libraries
- Procedures and timeframes for transfer of software, data and related documentation
- Proposed approach and success metrics for ADC assumption of the following application maintenance and support with minimal impact to users:
 - Application maintenance and support
 - Help desk operations and the approach to cutover of Help Desk operations concurrent with or after Solution cutover at the discretion of ADC
- Approach to verification of ADC's readiness, including assessments of staff, technology, and processes

- Turnover schedule
- Contractor and Department tasks for turnover
- Timeframe, process, and criteria for restricted change activity including freeze periods
- Mitigation and contingency plans to address turnover execution failures
- Approach to managing change to the Solution throughout the transition, including identification of in-progress development that cannot be completed prior to cutover
- Success criteria for the completion of cutover and final acceptance of all M&O service activity by ADC
- Approach for post-cutover Contractor support

(2) Requirements Statement

The Contractor shall furnish ADC with a statement of the resources that will be required for ADC or its designated agent to take over M&O of the Solution. At a minimum, the statement shall contain the recommended organization required to maintain and operate the Solution at the required performance levels in the following categories:

- Application Management
- Technical Management
- Systems, Databases, Storage, etc.
- Help Desk
- Administrative staff
- Managers

The statement shall identify all resources required to operate the Solution, including:

- Inventory and configuration of all hardware/system components required to support M&O for all environments at the required level of performance including:
 - “As Is” hardware configuration diagrams showing the relationship between all system, network, security, and service management components
 - All security management (monitoring, access, and ID management), service management, storage management code management, and test systems or software
- Inventory of all software, data and associated documentation that is to be transferred; this includes system and application build and configuration specifications and procedures
- Inventory of all development, maintenance, and operations tools, processes, and procedures in use by the Contractor in support of the Solution; this includes development work products and artifacts such as

- test cases and test results
- Inventory of all tools and documentation in use by the Help Desk in support of the Solution
- Proof of licensing and maintenance contracts for all purchased software components

The statement of resource requirements shall be based on the Contractor's experience in the operation of the Solution and shall include actual (accurate, complete and up-to-date) Contractor resources involved in operation of the Solution.

(3) Turnover Services

The Contractor shall provide Turnover services to transition operation of the Solution to ADC. This transition includes the transfer of all software, including source program code, COTS systems, an executable copy of the enhanced Solution, licenses and all related documentation. The Contractor shall ensure that all transferred information (source code, COTS, executable systems, data and documentation) is current as of the last successfully implemented change.

Throughout the Turnover services the Contractor shall work with ADC to coordinate system change activities, define a freeze period, and develop a process for implementation and coordination of any emergency changes required during the execution of Turnover services.

All transfers must be made on electronic media or network transfer and approved by ADC. All transfers must be verified by ADC as accurate and complete.

At a minimum, the Turnover Services shall include the following items:

- All information including sufficient data to support an integrated system test
- Verification that documentation, including user, functional, maintenance, development and operational manuals needed to operate and maintain the system is available (at a minimum) on PC-compatible CD, using ADC-approved software
- Transfer of all current and historical support records including:
 - End-user support scripts and diagnostic aids
 - Incident management records
 - Problem management records including work-arounds and known errors or defects
 - Change management records, including Post Implementation reports
 - Release management records
 - Security incident records
 - System and network performance reports

- System and network performance data records
- Root cause analysis reports
- Reports from operational recovery exercises
- Assistance in verifying all systems are appropriately configured, and support of incident response, system restoration, problem identification, and problem resolution throughout all stand-up and testing activity
- Completion of an ADC readiness assessment to include assessment of ability of technology, personnel and processes to support full Solution M&O at the level of performance established by the Contractor or in the SLAs, as determined by ADC

(4) Turnover Training and Knowledge Transfer

The Contractor shall provide knowledge transfer to State staff or its designated agent for the Solution M&O. Knowledge transfer shall include formal training, mentoring, allowing ADC to shadow Contractor activities, and shadowing ADC in conducting its activities during turnover.

The training shall be completed prior to the readiness assessment. Turnover training shall include training on the following:

- All applications development tools, processes and procedures
- All application(custom or COTS)/system/infrastructure responsibilities
- All application/system/infrastructure support processes and procedures
- All management tools (security management, systems management, storage management, network management, etc.)
- All Help Desk processes and procedures
- The vendor staff's knowledge base of information gained during maintenance and operation of the Solution
- All other responsibilities necessary to sustain M&O of the Solution at the required level of performance

(5) Cutover Activities

The Contractor shall perform the following cutover activities:

- Coordination of activities (including verification of initiation of all batch jobs, , and any other activity defined in the Contractor's plan)
- Cutover of the Help Desk services
- Validation of cutover success or execution of any required contingency activity in response to cutover failures
- Post-cutover support as defined in the Contractor's plan

(6) Post-Cutover Support

According to the plan defined by the Contractor in the Turnover Plan and approved by ADC, the Contractor shall provide post-cutover support at the discretion of ADC according to the agreed approach, terms and conditions.

(7) Removal of Software

At the successful completion of the Turnover Period, upon notification from ADC, the Contractor shall arrange for the removal all software, file systems and related documentation from all Contractor systems.

(8) Turnover Report and Completion Verification

The Contractor must provide ADC with a Turnover Report on a date specified by ADC, which documents completion and results of each step of the Turnover Plan.

(9) Project Completion Report

The Contractor shall develop a report to assess the completion of all scheduled activities within expected performance measures, and derive any lessons learned and best practices to be applied to future projects.

b) Turnover Deliverables

- Turnover Plan
- Requirements Statement
- Turnover Training
- Turnover Report
- Project Completion Report

c) Contractor Turnover Responsibilities

- Develop and deliver DEDs for all deliverables as defined in Section III.11(b)
- Develop, deliver, maintain, and execute all deliverables as defined in Section III.11(b)
- Perform Turnover processes once ADC approves initiation of the turnover
- Maintain sufficient resources and staff throughout the turnover period
- Coordinate with ADC on policies for transfer of Contractor staff to ADC in support of turnover (if applicable)
- If Solution components are leased, collaborate with ADC to transfer or terminate leases as required
- Work with ADC to coordinate system change activities, define a freeze period, and develop a process for implementation and coordination of any emergency changes required during the turnover period
- Ensure that all transfers are made on electronic media or network transfer

and approved by ADC

- Provide turnover services to transition all aspects of operation of the Solution from the Contractor to ADC
- Provide knowledge transfer and training to the State staff or its designated agent
- Coordinate all cutover activity as applicable. Cut over the Help Desk services at a time specified by ADC
- Validate cutover success or execution of any required contingency activity in response to cutover failures
- Provide post-cutover support as defined in the Turnover Plan
- Remove all software, file systems and related documentation from all Contractor systems and destroy it in accordance with ADC policy

d) State Turnover Responsibilities

- Review all DEDs and provide feedback; approve all DEDs prior to the Contractor development of deliverables in Section III.11(b)
- Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in Section III.11(b)
- Issue the request for initiation of Turnover services
- Approve and coordinate resources for the readiness assessment and UAT (if applicable)
- Communicate turnover plans to stakeholders and coordinate related system outages
- Approve the approach and plan for post-turnover support from the Contractor if applicable
- Complete identification, acquisition, or procurement of all resources required for the successful implementation of the Turnover Plan. If some components are leased, ADC shall collaborate with the Contractor to coordinate the transfer or termination of the leases as required.
- Complete identification, assignment or recruitment of sufficient numbers of skilled personnel to complete ADC responsibilities for Turnover tasks and assumption of full M&O
- Ensure availability of sufficient facility/office space to house systems and personnel as identified in the Turnover Plan.
- Provide resources to coordinate the receipt of the transfer of the Solution software, file systems, and related documentation
- Verify and approve all transfers as accurate and complete
- Work with the Contractor to coordinate system change activities, define a freeze period, and develop a process for implementation and coordination of any emergency changes required during the Turnover period
- Ensure the availability of personnel for required training and knowledge transfer as defined in the Contractor's training plan
- Provide final approval for execution of the cutover

- Provide personnel to complete all State responsibilities for cutover
- Review cutover results and determine the degree of success
- Approve the completion of turnover and project closure

IV. Special Instructions to Offerors – Response Format

A. General Directions

1. Pre-Proposal Conference

A Pre-Proposal Conference will be held on **August 28, 2013 at 10:00 a.m. M.S.T. (Arizona Time)** at the Arizona Department of Transportation, Auditorium, located at 206 S. 17th Avenue, Phoenix, Arizona 85007. All potential Offerors are encouraged to attend. Vendors attending the Pre-Proposal are requested to comply with the rule and regulations for use of the Department of Transportation Auditorium. All attendees must have a picture ID and must enter through the visitor entrance and sign in. No food or drink is allowable in the Auditorium with the exception of bottled water.

Offerors may ask clarification regarding the requirements of the solicitation or any apparent omission or discrepancy by submitting questions prior to the Conference in writing through ProcureAZ. Questions submitted prior to or during the Offerors' Conference will, to the extent possible, be discussed at the conference. Offerors should understand that the only official answer or position of ADC is the one stated in writing. Verbal responses given at the Offerors' Conference are unofficial and are not binding unless later confirmed in writing. ADC will determine the appropriate action necessary, if any, and issue a written amendment to the solicitation if required. Oral statements or instructions will not constitute an amendment to the solicitation.

2. Inquiries

Any questions related to this RFP shall be submitted through the ProcureAZ website using the Q & A Tab associated with this solicitation. The Offeror shall not contact or ask questions directly of ADC. Any correspondence related to a solicitation should refer to the appropriate solicitation number, page, section and paragraph number. Deadlines for submission of questions and the anticipated schedule for posting of ADC responses are provided in Section III, Table 1. Only written responses to questions or information included in formal addenda to this RFP shall be considered as official.

3. Electronic Documents

This RFP is provided in an electronic format. Any unidentified alteration or modification to any solicitation documents, to any attachments, exhibits, forms, charts or illustrations contained herein shall be null and void. In those instances where modifications are identified, the original document published by ADC shall take precedence. As provided in the Uniform Instructions to Offerors, Offerors are responsible for clearly identifying any and all changes or modifications to any solicitation document upon submission to ADC.

a) Submission Required in ProcureAZ

Proposals shall be submitted in an acceptable format, as described in this section, using the State's online eProcurement application ProcureAZ at <https://procure.az.gov>. To submit an Offer, Offerors must register in the ProcureAZ system. Offerors requiring assistance in the registration process or in navigating the ProcureAZ system may call the Help Desk at 602-542-7600.

Offeror's electronic files shall be submitted in a format acceptable to ADC. Acceptable formats include .doc and .docx (Microsoft Word document), .xls and .xlsx (Microsoft Excel spreadsheet), .mpp (Microsoft Project) and .pdf (Adobe Acrobat portable document format). Prospective Offerors that wish to submit attachments in other formats shall submit an inquiry through the ProcureAZ website Q & A Tab.

Offerors must also submit the following files in support of their proposals: one (1) Microsoft Word or Adobe Acrobat file with the response to Functional, Technical, and Interface requirements using the template provided in Attachment C (this file may include Microsoft Project and Excel files in addition); and one (1) Microsoft Word or Excel file or Adobe Acrobat file including all Cost Schedules using the template provided in Attachment D. Electronic submission of Offers by means other than the ProcureAZ system will not be accepted. Prospective Offerors with questions regarding ProcureAZ shall contact the ADC Procurement Officer prior to the Solicitation's due date and time.

b) Submission Required in Hard-Copy

In addition to submitting through the State's online e-Procurement application, ProcureAZ, Offerors are required to submit hard copies of the proposal which shall be submitted on the forms and format as contained in the RFP. Offerors must submit their copies prior to the proposal due date and time. Offerors shall certify within their proposal response that the electronic submittal and hard-copy submittals are identical.

Each Offeror must supply one original Offer, marked with the company name and "ORIGINAL" on the cover in large easy-to-read letters and ten (10) full copies of each proposal, and ten (10) copies on CD-ROM, each marked with the company name and sequentially numbered "COPY NO. 1," "COPY NO. 2," "COPY NO. 3," etc., on the cover page in large easy-to-read letters.

Proposals must be submitted in a sealed envelope and/or box with the Request for Proposal Number and the Offeror's name and address clearly indicated on the outside of the envelope and/or box. It is not necessary to place each individual copy in its own separate envelope.

Hard copies shall be submitted to one of the addresses below:

HAND DELIVERY – OVERNIGHT MAIL
Arizona Department of Corrections
Office of Procurement Services
1645 W. Jefferson Street, 4th Floor, #4401,
Phoenix, AZ 85007

OR

U.S. MAIL
Arizona Department of Corrections
Office of Procurement Services
1601 W. Jefferson Street, Mail Code 55302
Phoenix, AZ 85007

It is recommended to use eco-friendly consideration and consumables when preparing your response. Elaborate brochures, expensive paper, bindings, visuals, presentation aids and packaging beyond that sufficient to present a complete and effective proposal is not desired.

4. Confidential Information

If an Offeror believes that any portion of a proposal, bid, Offer, specification, protest, or correspondence contains information that should be withheld, then the Offeror shall advise the ADC Procurement Officer in the proposal or through use of the Confidentiality feature within ProcureAZ. Offerors should include in the Transmittal Letter an explanation how substantial competitive harm would occur if the information is released. The proposed price or Cost Schedules are not confidential and will not be withheld. Such material shall be identified as confidential wherever it appears. ADC, pursuant to A.A.C. R2-7-104, shall review all requests for confidentiality and provide a written determination. If the confidential request is denied, such information shall be disclosed as public information, unless the person uses the 'Protest' provision as noted in A.R.S. §§41-2611 through 41-2616.

5. Submission of Proposals

To submit a proposal in response to this RFP, Offerors must meet the Basic Qualification Criteria specified in Section III.A. Offerors must confirm this experience in the Transmittal Letter and detail the supporting experience and references. ADC will consider whether Offerors meet the Basic Qualification Criteria. Offerors not meeting the criteria will be disqualified, and evaluation of their proposals will not continue.

Each qualified Offeror may submit only one (1) proposal. Proposals must be submitted through ProcureAZ and delivered to the ADC Procurement Officer prior to the date and time specified in Table 1.

B. Required Proposal Format

This section details the required response format, including the required forms:

- Offer and Acceptance Form
- Proposal Submission Requirements
- Cost Schedule Submission Requirements
- Other Required Vendor Forms
- Solicitation Amendments (if applicable)

No partial bids will be accepted. Any bids submitted that are deemed to be incomplete may be rejected.

Table 5 summarizes the proposal formatting requirements:

Table 5 – Proposal Formatting

Subject	Requirement
Paper Size	8½ X 11 inch paper (letter size) and double-sided with one-inch margins.
Font	Text font must be no smaller than 11 points. Tables and figures may be in smaller font but must be legible.
Spacing	Proposals must be single-spaced.
Cover Page	The cover page of each proposal must include the following information: Name and address of the Offeror Date of submission Title - Proposal for Replacement of the Arizona Inmate Management System
Page Limit	Although there are no page limits, Offerors should limit the amount of extra material they submit. Offerors may include material not specifically requested by ADC that provides relevant information to support their response. Additional materials will not be scored and will have no bearing on final selection. There is no guarantee that evaluators will review such materials.

Subject	Requirement
Delivery Method	<p>Proposals must be submitted by two methods:</p> <p>(1) Offerors must submit an electronic version of the proposal through ProcureAZ as described in this section. Files shall not be password-protected or saved with restrictions that prevent copying, saving, highlighting, or reprinting of the contents.</p> <p>(2) Offerors must submit ten (10) paper (hard) copies of the proposal in tabbed 3-ring binders with tabbed sections, and ten (10) via CD-ROM. The following delivery methods are acceptable:</p> <ul style="list-style-type: none"> • U.S. Mail: Offerors are cautioned that it is their responsibility to mail proposals in sufficient time to ensure receipt prior to the proposal due date and time. • Express Delivery: If bids are being sent via an express delivery service, Offerors are responsible for ensuring delivery prior to the proposal due date and time and that the proposal delivery contact and address, including telephone number, are on the outside of the delivery envelope or box. • Hand Delivery: Hand-carried Offers shall be delivered to the ADC Procurement Officer at the shipment address prior to the proposal due date and time. <p>ADC will not accept Offeror proposals submitted by electronic e-mail or fax.</p>
Shipment	<p>The hard-copy and CD-ROM version of the proposal must be sealed and addressed to:</p> <p style="text-align: center;">Arizona Department of Corrections Procurement Services 1645 W. Jefferson, 4th Floor Suite 4401 Phoenix, AZ 85007</p> <p>Proposals should be clearly marked "SEALED BID" and should include the following items:</p> <p>Title - Proposal for Replacement of the Arizona Inmate Management System (AIMS) Solicitation ADOC14-00003350 Proposal Due Date Name of the Offeror</p>
Cross References	<p>Each proposal section should provide a cross-reference to the relevant section(s) of the RFP. When material is pertinent to multiple requirements, multiple cross-references must be provided.</p>

Offerors must submit proposals in the following order separated by tabs:

- Tab 1: Offer and Acceptance Form
- Tab 2: Transmittal Letter

- Tab 3: Executive Summary
- Tab 4: Offeror Identification Information
- Tab 5: Offeror Qualifications and Experience
- Tab 6: Solution Capabilities and Approach to Meeting Requirements
- Tab 7: Approach to Completing the Scope of Services
- Tab 8: Key Personnel and Staffing
- Tab 9: Work Plan and Schedule
- Tab 10: Cost Schedules
- Tab 11: Participation in State Procurement Transactions by Small Business
- Tab 12: Deviation and Exceptions Form
- Tab 13: Additional Materials Form
- Tab 14: Confidential/Proprietary Submittals Form
- Tab 15: Rules for Non-Employees
- Tab 16: Bid Bond

1. Tab 1: Offer and Acceptance Form (Attachment A)

The Offeror shall include the completed Offer and Acceptance Form included in Attachment A, which is signed by an individual authorized to legally bind the Offeror.

2. Tab 2: Transmittal Letter

The Transmittal Letter must be on official letterhead and be signed by an individual authorized to legally bind the Offeror. It shall include:

- A statement indicating that the Offeror is a corporation or other legal entity. All subcontractors shall be identified along with a statement indicating the percentage of work to be performed by the prime Offeror and each subcontractor, as measured by percentage of the total contract price
- A statement that the Offeror meets the Basic Qualification Criteria in Section III and a list of the experience showing it meets this criteria. The Offeror should cross-reference the experience from Tab 5 and corporate references that support this statement
- A statement that the Offeror is / will be registered to do business in Arizona
- A statement identifying all amendments and addenda to this RFP issued by ADC and received by the Offeror, or a statement that none were issued and received
Offerors should note that Offerors shall acknowledge RFP amendments electronically in ProcureAZ (<https://procure.az.gov>) no later than the Offer due date and time. Failure to acknowledge all/any amendments may result in rejection of the proposal.
- A statement that the person signing this proposal is authorized to make

decisions as to the proposed work, the prices quoted, that the offer is firm and binding, and that he or she has not participated, and will not participate, in any action contrary to the RFP

- If the use of subcontractor(s) is proposed, a statement from each subcontractor must be appended to the transmittal letter. The statement must be signed by an individual authorized to legally bind the subcontractor and State the general scope of work to be performed by the subcontractor(s) including:
 - The scope and percentage of work to be performed by the subcontractor (measured as a percentage of the total agreement price paid directly to the subcontractor)
 - The subcontractor's willingness to perform the work indicated
 - The subcontractor's intent to sign a formal agreement with the Offeror if the Offeror is awarded the Contract
- A statement that no attempt has been made or will be made by the Offeror to induce any other party to submit or refrain from submitting a proposal
- A statement that the bid was arrived at independently without collusion, consultation, communication, or agreement as to any matter relating to such prices with any other Offeror or with any competitor
- The Offeror's assurance that the Proposal will remain in full force and effect for at least 180 days from the proposal due date, which will be specified in the Transmittal Letter
- A statement that the Offeror does not and will not have any interest that will conflict, in any manner or degree with the performance of services required under this RFP
- A Statement certifying that all individuals who will be involved in this Contract and the software development process will be able to pass the appropriate background investigation
- A list identifying any assumptions made by the Contractor in submitting the proposal. If no assumptions are included, the Offeror shall include a statement to that effect.
- An affirmative statement agreeing to the payment and retainage terms in Section IV of this RFP
- If the Offeror intends to subcontract any part of the scope of work, the Offeror must indicate the following for each subcontractor:
 - The subcontractor's name, address, and telephone number

3. Tab 3: Executive Summary

The Executive Summary shall summarize and highlight relevant contents of the proposal to provide ADC administrators and the Evaluation Committee with a broad understanding of the Offeror's proposal. Offerors should concisely summarize how their proposal meets the requirements of this RFP and why the Offeror is best qualified to perform the work required.

The Executive Summary shall highlight the Offeror's:

- Understanding of the project, project management approach, and commitment to successfully performing all project activities
- Qualifications to serve as the Contractor for the project
- Overall approach to the project, including highlights of the proposed Solution, Work Plan and Schedule, staffing, approach to development and configuration, maintenance and operations and other activities included in the scope of services
- Project challenges, risks and suggested mitigation strategies based on previous implementations of similar size and scope
- Significant lessons learned from experience on previous public sector corrections projects of similar size and scope, and how the Offeror plans to apply those lessons to this project
- Summary of the contents of the proposal

4. Tab 4: Offeror Identification Information

Offerors shall present the following identification information in this section:

- The organization's full company or corporate name
- How the entity is organized (proprietorship, partnership, corporation)
- An organization chart of the entity clearly depicting the Offeror's reporting relationships
- The address of the organization's headquarters office
- The names and addresses of any parent organization, any partially or wholly owned subsidiaries, and any other related organizations
- The state in which the Offeror is incorporated
- The address of the Offeror's office location responsible for performance under the resulting contract if awarded the Contract
- A brief history and current company ownership including the ultimate parent organization and major shareholders and principals. If the Offeror is an out-of-state Contractor, it must indicate that it will become duly qualified to do business in the Arizona before a contract is executed
- A general description of the primary business of the organization and its client base, and the organization's areas of specialization
- The number of employees both locally and nationally
- The size of organization in assets, revenue and people

- Full disclosure of any potential conflict of interest (e.g. serving as a reseller of computer hardware, business relationships between the Offeror and any State of Arizona employee who functions or has responsibilities in the review or approval of the undertaking or carrying out of the project)
- A statement documenting all open or pending litigation initiated by Offeror or where the Offeror is a defendant or party in any litigation that may have a material impact on the Offeror's ability to deliver the contracted services and Solution
- A statement documenting all open or pending litigation initiated by the Offeror or where the Offeror is a defendant or party in any litigation with a public sector client
- Full disclosure of any public sector offender management or corrections contracts terminated for cause or convenience in the past five (5) years
- Full disclosure of any criminal or civil offense
- Full disclosure of any suspension or debarment status

5. Tab 5: Offeror Qualifications and Experience (Attachment E)

Offerors must provide a detailed summary of Offeror and subcontractor experience for its proposed project organization.

- A statement that neither the Offeror nor any proposed subcontractor has been found in default of previous contracts in the State of Arizona

a) Offeror Experience

Offerors must describe the number of years and months of experience and type of experience in each of the following categories:

- Experience with the proposed Solution, including the proposed application, software and architecture
- Design, development, and configuration of a state's offender management system Conversion of data from a offender management legacy system to a new system
- Testing of functionality for an offender management system
- Training state or other client staff on a similar offender management system
- Implementing an offender management system Maintaining and operating an offender management system

Offerors must provide responses for each category. If the Offeror has no experience in an area, it should clearly indicate or identify it as "No Experience." Offeror and each proposed subcontractor experience must be identified separately.

Offerors should provide details on clients and projects in each category as follows:

- Client name
- Role of the Offeror
- Scheduled and actual start and end dates of the project
- Description of system software, programming language, databases, age, and size
- Description of system architecture and related hardware
- Description of contract scope and Offeror activities, noting similarities and differences with Arizona scope of work in terms of size (number of inmates and facilities, scope, and complexity, including annual and total contract amounts)

b) Offeror References

The Offeror's proposal must include a minimum of three (3) corporate references from three (3) separate projects during the last five (5) years that detail its experience in completing the activities similar to those described in this RFP. References should be submitted on the form included in Attachment E. The Offeror must ensure that references include those that will support evidence that the Offeror meets the Basic Qualification Criteria stated in Section III.A.

ADC reserves the right to conduct checks of Offeror references, by telephone or other means, and evaluate the Offeror based on these references. It is the Offeror's responsibility to ensure that reference contacts (or a designated backup contact) are available during the evaluation period. The State intends to conduct reference checks for client references provided by Offerors. It may, at its sole discretion, contact additional clients not presented as references.

Offerors should indicate their personnel commitment for all current (ongoing) contracts including new awards, not started. Offerors should describe how the Offeror and its partnering companies will address any potential conflicts between workload underway on those contracts with the project related to this RFP if awarded the Contract.

c) Additional Information

Offerors must provide the following information in this section:

- A list of prior and existing contracts or agreements that the Offeror has entered into with the State of Arizona
- If, at any time during the past ten (10) years, the Offeror or any proposed subcontractor has had a contract terminated for

convenience, nonperformance, non-allocation of funds, or any other reason, the Offeror must fully describe each termination and include the name, address, and telephone number of the contracting party and describe the circumstances surrounding the termination. If no such early terminations have occurred in the past ten (10) years, the Offeror should include a statement to that effect

d) Offeror Financial Condition

The Offeror must demonstrate that its organization is in sound financial condition or that appropriate corrective measures are being taken to address and resolve any identified financial problems. The Offeror shall provide financial information in such a manner that ADC can reasonably formulate a determination about the stability and financial strength of the organization. This must include company size, organization, date of incorporation, ownership, number of employees, and revenues for the previous three (3) fiscal years.

The Offeror must disclose any and all judgments, pending or expected litigation, or other real potential financial reversals that might materially affect the viability or stability of the Offeror's organization; or certify that no such condition is known to exist. This section shall include:

- A Statement of whether, in the last ten (10) years, the Offeror has filed (or had filed against it) any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors, and if so, an explanation providing relevant details
- A Statement of whether there are any pending Securities Exchange Commission investigations involving the Offeror, and if such are pending or in progress, an explanation providing relevant details and an attached opinion of counsel as to whether the pending investigation(s) may impair the Offeror's performance in a contract under this RFP
- Copies of the most recent independently audited financial statements, as well as those for the preceding year. The submission must include the audit opinion, the balance sheet, statements of income, retained earnings, cash flows, and the notes to the financial statements

A current Dun and Bradstreet Report that includes a financial analysis of the organization would fulfill this requirement. An Offeror can use an Annual Report as verification of financial status, provided it contains at a minimum a Compiled Income Statement and Balance Sheet verified by a Certified Public Accounting firm. ADC reserves the right to contact the accounting firm if questions arise. As an alternative, for those Offerors unable to provide audited financial statements or

a Dun and Bradstreet Report, the Offeror shall provide tax returns and financial statements including income statements and balance sheets for the most recent three (3) years, and any available credit reports.

In the event an Offeror is either substantially or wholly owned by another corporate entity, the Offeror must also include the same information for the parent organization and a statement that the parent will unconditionally guarantee performance by the Offeror in each and every term, covenant, and condition of such contract as may be executed by the parties.

Any proposed subcontractor whose percentage of work to be performed (measured as percentage of total contract price) equals or exceeds 20 (twenty) percent must submit the required information as well.

ADC may request clarification or additional information if required to complete evaluation.

6. Tab 6: Solution Capabilities and Approach to Meeting Requirements (Attachment C)

Offeror's responses to this section shall address the following:

- An overall description of the Solution being proposed
- The future direction of the proposed Solution
- The strategic plans for the proposed software products in the proposed Solution. Offerors should describe how the proposed Solution provides a platform for growth and technological advances. They should also describe plans related to technology support tools that increase efficiency and effectiveness (thus reducing costs) of maintenance and upgrade activities
- A detailed product summary (including third party software, including all libraries, frameworks, components, and other products, whether commercial, free, open-source, or closed sourced that lists:
 - Software provider
 - Product
 - The modules and listed functions within those product sets proposed to fulfill all requirements
 - The release level of the products to be used
 - The next release / version level to be released
 - The planned release date of the next release / version.

NOTE: ADC will give preference to Solutions with no planned major releases within the three (3) years following the issue date of this RFP.

- A description of all of the support products (including third party products) required to operate, control, manage, configure, enhance, upgrade, and integrate the Solution

Products included here must be all of those necessary to meet the requirements as established in Section III and Attachment C. Prices for all Solution components including tools, support products, etc. must be identified in the Cost Schedules in Attachment D.

The Offeror shall describe the proposed tools and methodologies, in accordance with the Offeror's methodology and approach, including:

- Minimum desktop requirements (e.g., operating system, processor speed, RAM, disk space)
- Server virtualization
- Scalability
- API maintenance tools
- Metadata management features

Although the scope of this procurement does not include functionality for electronic health records, Offerors shall discuss the capability of their Solution to maintain and process electronic health records and information should ADC decide to add that functionality at some time in the future.

Offerors must acknowledge the capability and willingness to meet all requirements (Functional, Technical, Interface) as defined in Section III of this RFP and Attachment C. Any exceptions that the Offeror Solution cannot or will not provide in its Solution must be clearly indicated on the form in Attachment C. For each exception, the Offeror must propose an alternative for meeting the requirement.

Offerors shall discuss the extent to which the proposed Solution can be configured versus the extent of development that must be done, and the Offeror's approach to coordinating these activities throughout requirements definition, design, development, or configuration, and testing. Offerors must address each of the following categories of requirements separately as defined in the Solution Requirements in Section III and Attachment C:

- Functional Requirements
 1. Intake
 - Inmate Processing
 - Inmate Identification
 2. Property
 3. Sentence Calculation
 4. Classification

5. Population Management
 - Movement
 - Count
 - Transportation
 - Do Not House With
 - Protective Custody
 6. Gang Management/Security Threat Groups
 7. Holds, Warrants and Detainers
 8. Scheduling
 9. Discipline
 10. Programs
 - Inmate Work/Programs
 - Inmate Education
 - Counseling and Treatment
 - Inmate Trust Accounts
 11. Earned Incentive Program
 12. Grievances and Appeals
 13. Visitation
 14. Religious Services
 15. Inmate Commissary
 16. Arizona Correctional Industries
 17. Community Corrections
 18. Reporting and Data Analysis
 19. Document and Image Attachment
 20. Staff Identification
- Technical Requirements
 1. Regulations
 2. Hardware/ Software
 3. Database
 4. Housing of Solution
 5. Network Support
 6. Workstation Software
 7. User Interface
 8. Error and Exception Handling
 9. System Tools
 10. System Security Management
 11. Availability
 12. Performance
 13. Capacity
 14. Retention and Archive
 15. Audit
 - Interface Requirements

Identify and verify all internal and external interfaces

The functional requirements have been grouped into categories and sub-categories. Many requirements however could fit logically into more than one category. For example, a requirement that the proposed Solution be able to generate reports showing the results of a particular compliance action might be grouped under Reporting or under the particular compliance action referenced.

Each requirement appears only once (although there may be overlap between some related requirements). Offerors are encouraged to ensure that all Offeror personnel responsible for responding to this RFP review all the requirements, rather than focusing solely on the specific category or categories most relevant to them. To continue with the previous example, the Offeror will be responsible for all reporting-related requirements – even those that may not be grouped in the Reporting subsection.

The functional and technical requirements are grouped into one of the major categories, which are, in turn, further sub-divided into additional sub-categories. A separate table of requirements is provided for each sub-category.

In addressing each category, the Offeror's proposal must complete the form in Attachment C as follows:

a) Requirement Number

Each of the functional requirements in the tables has been assigned a requirement number (abbreviated “Req. #”). The alpha designator appears in the subsequent charts that list functional requirements for easy identification:

Table 6 – Requirements Designators

Alpha Designator	Definition
GL	<u>Global</u> includes the general functional, system administration, workflow and business rule management requirements.
IN	<u>Intake</u> includes inmate processing and identification requirements.
PO	<u>Property</u> requirements.
CL	<u>Classification</u> requirements.
SE	<u>Sentence Calculation</u> includes sentence calculation/modification and audit requirements.
PM	<u>Population Management</u> includes movements, count, transportation and do not house with, and protective custody requirements.
GM	<u>Gang Management / Security Threat Groups (STGs)</u> requirements.
HW	<u>Holds, Warrants and Detainers</u> requirements.
SC	<u>Scheduling</u> requirements.
DI	<u>Discipline</u> requirements.
PR	<u>Programs</u> includes work and/or program activities including ACI, education, counseling and treatment rehabilitation (Drug(s) sex offender,

Alpha Designator	Definition
	special counseling etc.) and inmate trust accounts requirements.
EI	Earned Income Program requirements.
GA	Grievance/Appeal requirements.
VI	Visitation requirements.
RE	Religious Services requirements.
IC	Inmate Commissary requirements.
CI	Arizona Correctional Industries (ACI) requirements.
CC	Community Corrections includes pre-community supervision, release and community corrections requirements.
DA	Reporting and Data Analysis requirements
DM	Document and Image Management requirements
ST	Staff Identification requirements.
SI	System Interface requirements>
T	Technical includes regulation, hardware/software, database, housing of solution, network support, workstation software, user interface, error and exception handling, interfaces, system security management, availability, performance, capacity, retention and archive, and audit requirements.
I	Interface includes required interfaces with other ADC, State, third party, or other entities' systems

b) Category

Each of the functional requirements in the tables has been assigned a category of either "Mandatory" or "Desirable" (abbreviated "M/D"). The mandatory requirements must be provided by the Offeror's proposed Solution. Offerors should indicate whether desirable requirements are met in the same manner.

c) Description

The Description column provides the features, functionality, capabilities, and other characteristics that ADC seeks in the proposed Solution. Some requirements include constraints and limitations to which the proposed Solution must conform. Offerors must not modify these requirements in any way. An alternate method of meeting the requirement may be proposed and noted in the Reference column; however, doing so may result in the Offeror's proposal being found non-responsive. Offeror responses to requirements will be assumed to apply to the requirements as originally written or subsequently modified by ADC, regardless of any changes in the wording (either intentional or inadvertent) that may be included in the Offeror's proposal.

d) Offeror Response Code

Offeror responses to the functional requirements will require completing the Offeror Response Code column by entering the abbreviation (shown in

parentheses) corresponding to one of the six responses defined in the table below. Offerors must not enter other responses, or modify the permitted responses, or their definitions, in any way. Offerors are encouraged to realistically evaluate the way in which they propose to satisfy each requirement, and to provide the correct response.

Table 7 – Offeror Response Code Definitions

Permitted Responses	Response Definitions
Existing (E)	The proposed Solution software fully satisfies the requirement as-written, without modification. This only applies if the proposed software currently exists, is installed and functioning in a production environment, and will provide the functionality(ies), capability(ies), and comply with any constraints specified in the requirement.
Existing with Configuration (EC)	The proposed Solution software fully satisfies the requirement as-written, without modification, except for minor configuration changes. This only applies if the proposed software currently exists, is installed and functioning in a production environment, and will provide the functionality (ies), capability (ies), and comply with any constraints specified in the requirement. The only customization required must be through the use of the proposed solution’s standard configuration utilities (e.g., entering customer-specific information and user-defined parameters). Programming changes to the application must not be required.
Minor Modification (MM)	<p>The proposed software will be modified by the Contractor so that it will fully satisfy the requirement as-written. This only applies if the proposed software currently exists, and is installed and functioning in a production environment. The custom programming and modifications required to fully satisfy the requirement must not exceed 80 hours.</p> <p>The Contractor should be prepared to discuss the effect of the minor modification on the upgrade path of the software.</p>
Third Party Tool (TP)	The proposed Solution will fully satisfy the requirement, as-written, through the inclusion and integration of a third party software/hardware tool (e.g., a report writer, statistical analysis tool, etc.). In such cases, the total cost of this third party tool, including licensing, installation, ongoing support, and future upgrades, will be the responsibility of the Offeror for as long as the Offeror remains responsible for providing such support for the core application. These costs must be included in the Cost Schedules. The Offeror must explain how the Third Party Tool will be integrated into the overall proposed solution in the appropriate sections of the proposal.

Permitted Responses	Response Definitions
Custom Development (CD) Evaluated as	Custom development will be used to satisfy this requirement, either by making major modifications to existing software, or by developing new custom software or modules. Major modifications or custom development are defined as application changes or additions that will require a programming effort in excess of 80 hours.
Not Satisfied (NS)	The feature, functionality, or constraint described in the requirement will not be fully satisfied by the proposed Solution. In the case of mandatory requirements, this response may disqualify the bid from consideration.

e) Offeror Reference

Offerors shall enter in the Reference column a description of how the proposed Solution is meeting this requirement or a reference (page/section) to any other part or parts of their proposal that corroborates the Offeror response code entered for the requirement. Multiple references may be included. When Offerors include a description of how their proposed Solution meets this requirement, ADC evaluators will assume that the Offeror’s entire response to the requirement is included in the Offeror Reference column.

The Reference column will be a critical component of the Offeror’s proposal. ADC expects a clear and appropriately thorough and detailed explanation of how the Offeror’s proposed Solution will satisfy each requirement. While in some cases a few words may be sufficient, often this will require significant explanation. In some cases, Offerors may find it necessary to provide and reference additional documentation or exhibits. In all cases, Offerors must provide sufficient explanation in this field to enable evaluators to understand the essence of how the Offeror’s proposal will satisfy the requirement. In this field Offerors must explain their Offeror Response by providing, as applicable:

- An explanation of how the feature or function is, or will be, provided.
- Evidence to support this (where it is installed, other customers who can confirm it, examples, availability of demonstrations, etc.).
- The nature of any configuration, modifications, or custom development required to provide the feature or function, and the estimated time and resources that will be required to accomplish it.
- Information about any third party tool being proposed,

including: its owner/ publisher, version, functionality, support, etc. Offerors must describe their experience in installing and integrating this tool with the proposed Solution.

If the Response Code for any requirement is NS (Not Satisfied), Offerors must give an explanation of an alternative approach to meeting the ADC requirement in the Reference column.

7. Tab 7: Approach to Completing the Scope of Services (Attachment G)

Offerors must address how they will successfully complete the Scope of Services for all activities listed in Section III of this RFP. Offerors' proposals must include the following sections:

- Approach to Project Initiation and Management (7.1)
- Approach to Requirements Definition, Design, Development / Configuration (7.2)
- Approach to Testing, Conversion, Training and Implementation (7.3)
- Approach to Maintenance and Operations, and Turnover (7.4)

The Offeror's proposed Work Plan and Schedule must show completion of all activities through implementation. ADC prefers implementation of all functionality at one time. Offerors may propose consolidation of deliverables as long as they meet all deliverable requirements. The Offeror's proposed deliverable approach and methodology must meet or exceed the objectives of the deliverables specified in this RFP. Offerors must clearly identify deliverables in each section of its proposal, clearly showing groupings of deliverables and explaining how all deliverable requirements for this RFP in Section III will be met.

a) Approach to Project Initiation and Management (7.1)

Offerors' Proposals must address the Offeror's approach to Project Initiation and Management as described in Section III. This discussion should include approach to initiation of the project, delivery of the Project Management Plan, Plan maintenance, and provision of supplemental planning documents.

b) Approach to Meeting Requirements Definition, Design, and Development and Configuration Requirements (7.2)

In this section, Offerors must provide a conceptual design of its proposed Solution showing:

- Graphic representation of the overall proposed Solution
- Major functionality and components and the relationships

between components

- Depiction of other required interfaces
- Architecture supporting the proposed Solution

Offerors' proposals must address the Offeror's approach to defining requirements, designing, developing, and configuring the Solution as described in Section III. ADC will evaluate for consistency with the work plan and staffing, schedule, methodologies, testing, quality assurance, and related activities.

c) Approach to Meeting Testing, Conversion, Training, and Implementation Requirements (7.3)

Offerors' proposals must address the approach to testing as described in Section III, including system and integrated testing, and support of ADC UAT. Proposals shall address how Offerors propose to meet conversion, training, and implementation requirements. Proposals shall include the proposed approach to staffing the Help Desk from UAT through M&O to provide coverage 24 hours per day, Sunday through Saturday.

d) Approach to Meeting Maintenance and Operations Requirements (7.4)

Offerors' Proposals must address the Offeror's approach to meeting maintenance and operations requirements as described in Section III. This section must include the Offeror's approach to meeting modifications requirements. This section must also address the Offeror's approach to turnover activities.

The Offeror shall describe the software patch and update process once the Solution is in production. The description must include the steps involved in the development, testing, and validation process that occur before updates are released and made available to the clients. While clients may have unique requirements for updates, the Offeror's description must include the generic steps recommended by the software manufacturer for the acquisition, review, testing, and deployment of patch and updates. The description must also include any tools or services provided by the software vendor that facilitate this process.

The Offeror must describe its policies and processes for reporting of security breaches and the mitigation efforts it takes to correct the situations leading to the breach. The Offeror must describe the time frames for reporting and development of mitigation strategies.

Service Level Agreements (SLAs) play an important role in defining and managing the expectations that will be placed upon the Contractor. In this section Offerors shall describe their approach to meeting the SLAs and KPIs for the areas

shown in Attachment G. SLAs and KPIs will be finalized with ADC in the contract.

The Contractor shall ensure that proposed SLAs and KPIs comply with all requirements in Attachment C. The following SLAs as finalized in contract may impact Contractor payment for M&O as specified in Section VI if not met.

8. Tab 8: Key Personnel and Project Staffing (Attachment E)

Offerors will be required to provide qualified staff to perform all activities described in Section III of this RFP and meet all Solution Functional, Technical, and Interface Requirements. This section of the Offeror's proposal will include the following sections:

- Approach to Staffing
- Project Organization Charts and Position Descriptions
- Key Corporate Personnel
- Key Personnel

a) Approach to Staffing

The Offeror should demonstrate an understanding of the appropriate staffing to complete the scope of services activities as defined in Section III of this RFP. Proposals should include the following:

- The number and types of staff required to complete the scope of work
- Transition of personnel between activities
- Identification of any staff shared activities and discussion of its strategy for managing the risk of overlapping staffing
- A proposed staffing plan showing personnel categories and staffing equivalents for major categories of staff assigned to the activities, including modifications and special projects. The staffing plan should show key and non-key personnel staffing by category or person by month for the duration of the activity
- A backup plan for replacement or supplementing staff if required

b) Project Organization Charts and Position Descriptions

Offerors' proposals should include an organization chart for the major activities:

- Requirements Definition, Design, Development, and Configuration

- Conversion
- Testing (including separate identification of staff for system and integration testing, and support of the UAT)
- Training
- Implementation
- Maintenance and Operations (including Modifications)
- Turnover

Proposals should also include descriptions of staffing positions shown in the organization chart and listed in the staffing charts.

c) Key Corporate Personnel

Offerors must identify and describe roles and responsibilities of all key corporate, administrative, and supervisory personnel who will be involved in providing the services sought by this RFP. The resumes shall include name, education, and years of experience and employment history, particularly as it relates to experience with the proposed application and software and the specified scope of services specified.

d) Key Project Personnel

Offerors must designate key project personnel. Key personnel must include at a minimum: Project Manager, Operations Manager, Systems Architect /Technical Team Lead, Configuration Manager, Data Manager, Training Manager, Testing Manager, and Corrections SME. The Corrections SME position may be met by another key person as long as all qualifications are met by the proposed person. All other key positions must be filled by different persons.

Offerors shall include resumes for all key project personnel. Resumes must include name, education, years of experience, and employment history, particularly as it relates to the proposed application and software and the specified scope of services. Each resume shall specify how the key staff person meets the requirements specified in Exhibit E. Resumes shall include three (3) references for each key staff person in the format shown in Attachment E.

This section shall also specify the following:

- The project manager's experience in managing subcontractor staff if the Offeror proposes to use subcontractors
- The percentage of time the project manager and each key project staff person will devote to this project on a monthly basis or by major activity

9. Tab 9: Work Plan and Schedule

Offerors must provide a Work Plan and Schedule that includes:

- Detailed descriptions of the major activities, tasks, and subtasks necessary to accomplish the requirements of this RFP
- Identification of the responsible party (ADC, the State, or the Offeror) for each major task and activity
- Discussion of the flexibility of the work plan to meet changes in program requirements and cope with delays should they occur
- Discussion of any proposed delayed or phased implementation of functionality

Any proposed delayed implementation of functionality of phasing of implementation must be fully supported in the discussion of the Offeror's approach in Section V.7, including a description of how the Contractor will facilitate users' ability to access and coordinate data in both AIMS and the new Solution and coordinate activities between the legacy system and new Solution during any phased or delayed implementation period.

10. Tab 10: Cost Schedules (Attachment D)

The following sections describe the required content and format for submission of Cost Schedules in response to this RFP. ADC shall evaluate the Total Evaluated Proposal Price on the Cost Summary.

Offerors must ensure that all costs necessary to provide a complete working system are included in the worksheets, regardless of whether or not there is a specific line item identified in the worksheets. The following costs, at a minimum, must be included: software development, testing, installation, and maintenance labor; hardware acquisition, installation, and maintenance; software acquisition license and maintenance. .

Any proposed system component, hardware, service, or identified work scope in the Offeror's proposal that is not specifically priced or identified in the Offeror's worksheets, or that is identified after award of the contract, will be assumed to be included by the Offeror at no additional cost.

Templates for Cost Schedules are included in Attachment D. Instructions for completing each schedule are included in the following sections. If any variations exist between the Cost Summary and the other schedules and no clarification appears, the Cost Summary will prevail. It is the Offeror's responsibility to identify any missing cost items, and missing items will be the responsibility of the Offeror. ADC may assign an appropriate cost to the missing item to prevent a perceived cost advantage over another Offeror.

Offerors proposals must include an Executive Summary, Cost Summary, and Cost Schedules A, B, and C using the worksheets provided.

a) Executive Summary

The Cost section of Offerors' proposals must include an Executive Summary of not more than three (3) pages. The Executive Summary should summarize and highlight relevant contents of the Cost Proposal to provide ADC administrators and the Evaluation Committee with a broad understanding of the Offeror's proposed price and the required Cost Schedules. The Executive Summary should include a statement certifying that all pricing information presented as part of the proposal is in U.S. dollars and that all required cost information is enclosed.

b) Cost Summary Worksheet

This section of the Offeror's Cost is a roll-up of the two (2) supporting schedules: Cost Schedule A and Cost Schedule B. Offerors are required to ensure the costs captured on the other supporting schedules are transferred accurately to the Cost Summary Worksheet.

ADC will evaluate the Total Evaluated Proposal Price on the Cost Summary Worksheet.

c) Cost Schedule A

Cost Schedule A, the Design, Development, and Implement Cost Schedule, must include all vendor personnel, incidental, training, hardware, software, and "other" costs necessary to design develop, test, provide training, data conversion, interfaces development and support of the proposed Solution during the DDI phase. Offerors must provide a firm fixed price for each payment deliverable listed on the schedule. Offerors may propose additional payment deliverables for ADC consideration.

d) Cost Schedule B

Cost Schedule B, the Maintenance and Operations Cost Schedule includes the cost for Maintenance and Operations costs for seven (7) years of operations through June 30, 2023. These costs include warranty and licenses for all seven (7) years.

The price for Maintenance and Operations shall be a single price for all seven (7) years of maintenance and operations. The Department may apply a cost of living increase during certain years if it deems the increase appropriate.

The Maintenance and Operations costs include a maximum of ten thousand (10,000) hours of modifications for each of the ten years of operations. Any hours not used in a contract year will be rolled over to the next contract year.

e) Cost Schedule C

Cost Schedule C, the Modification/Enhancement Cost Schedule provides information on the proposed hourly rate for ADC to obtain technical assistance from the Contractor during the life of the contract. Modification/Enhancement activities do not include the fixed rate charges for Contractor Staff to provide technical assistance during the seven (7) years of maintenance and operations.

The blended hourly rate includes all personnel, overhead, indirect, travel, profit, equipment usage, and other miscellaneous costs.

11. Tab 11: Participation in State Procurement Transactions by Small Business Form (Attachment F)

Offeror shall complete and return Attachment F.

12. Tab 12: Deviation and Exceptions Form (Attachment G)

- If the Offeror rejects to any term or condition of the RFP, exceptions must be submitted on Attachment G. Exceptions that materially change the terms and conditions of the RFP may be deemed non-responsive by ADC, in its sole discretion, resulting in possible disqualification of the Offeror. ADC reserves the right either to execute a Contract without further negotiation with the successful Offeror or to negotiate Contract terms with the selected Offeror if in the best interest of the State.

13. Tab 13: Additional Materials Form (Attachment H)

Offeror shall complete and return Attachment H.

14. Tab 14: Confidential/Proprietary Submittals Form (Attachment I)

Offeror shall complete and return Attachment I.

15. Tab 15: Rules for Non-Employees (Attachment J)

Offeror shall sign and acknowledge Attachment J.

16. Tab 16: Bid Bond

- Offeror shall submit a bid bond, a certified or cashier's check, or an irrevocable letter of credit made payable to ADC in the amount of \$50,000 (fifty thousand dollars). The bid proposal security shall be forfeited if the Offeror selected to receive the Contract withdraws its bid proposal after ADC notifies of the intent to award, does not honor the terms offered in its bid proposal, or does not negotiate contract terms in good faith. Securities submitted by Offerors will be returned when the bid proposals expire, are rejected, or ADC enters into a contract with the selected Offeror, whichever is earliest.

C. Evaluation Criteria

In accordance with the Arizona Procurement Code A.R.S. §41-2534, Competitive Sealed Proposals, award shall be made to the responsible Offeror whose proposal is determined in writing to be the most advantageous to the Department based upon the evaluation criteria listed below. The evaluation factors are listed in the relative order of importance:

- Criterion 1: Solution Capabilities
- Criterion 2: Approach to Project Initiation and Management, Requirements Definition, Design, Development and Configuration
- Criterion 3: Approach to Testing, Conversion, Training, and Implementation
- Criterion 4: Approach to Maintenance and Operations
- Criterion 5: Offeror Qualifications and Experience
- Criterion 6: Key Personnel and Staffing
- Criterion 7: Cost
- Criterion 8: Work Plan and Schedule

D. Responsibility, Responsiveness and Susceptibility

In accordance with A.R.S. 41-2534(G), A.A.C. R27-C312 and R2-7-C316, ADC shall consider the following in determining Offeror's responsibility, as well, as the responsiveness and acceptability of their proposals. ADC will consider, but is not limited to, the following in determining an Offeror's responsibility as well as susceptibility to Contract Award:

- Whether the Offeror has had a contract within the last five (5) years that was terminated for cause due to breach or similar failure to comply with the terms of the contract
- Whether the Offeror's record of performance includes factual evidence of failure to satisfy the terms of the Offeror's agreements with any party to a contract. Factual evidence may consist of documented vendor performance reports, customer complaints, or negative references
- Whether the Offeror is legally qualified to contract with the State and the Offeror's financial, business, personnel, or other resources, including subcontractors
- Legally qualified includes if the vendor or if key personnel have been debarred, suspended or otherwise lawfully prohibited from participating

in any public procurement activity, including but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body

- Whether the Offeror promptly supplied all requested information concerning its responsibility
- Whether the Offer was sufficient to permit evaluation by ADC in accordance with the evaluation criteria identified in this RFP or other necessary offer components. Necessary Offer components include: attachments, documents or forms to be submitted with the Offer, an indication of the intent to be bound, reasonable or acceptable approach to perform the scope of work, signed RFP amendments, references to include experience verification, adequacy of financial/business/personal or other resources to include a performance bond and stability including subcontractors and any other data specifically requested in the RFP
- Whether the Offer was in conformance with the requirements contained in the scope of work, terms and conditions, or instructions for the RFP and its amendments, including the documents incorporated by reference
- Whether the Offer limits the rights of the State
- Whether the Offer includes or is subject to unreasonable conditions, to include conditions upon ADC or necessary for successful contract performance. ADC shall be the sole determiner as to the reasonableness of a condition
- Whether the Offer materially changes the contents set forth in the RFP, which includes the scope of work, terms and conditions, or instructions
- Whether the Offeror provides misleading or inaccurate information

E. Discussions

ADC may, at its discretion, require discussions with Offerors, requests for clarification, or Best and Final Offers.

- **Discussions With Offerors:** In accordance with A.R.S. 41-2534, after the initial receipt and evaluation of Proposals, discussions may be conducted with the Offerors who submit proposals determined to be reasonably susceptible of being selected for award. The proposals should be submitted initially complete and on most favorable terms.
- **Best and Final Offer:** In the event discussions or oral presentations are conducted, ADC may issue a written request for Best and Final Offers. The request for Best and Final Offer will inform Offerors that, if they do not submit a Best and Final Offer or a Notice of Withdrawal, their immediate previous Offer will be construed as their Best and Final Offer. Offerors will

be notified of the date, time, and place for submitting their Best and Final Offer. ADC may limit requests for Best and Final Offers to any or all Offerors.

V. Special Terms and Conditions

A. Term of Contract

The term of any resultant Contract shall commence on the date of award and shall continue for a period of ten (10) years thereafter, unless terminated or canceled as otherwise provided herein.

The Contract may be cancelled only if funds are not appropriated or otherwise made available to support continuation of performance in any fiscal period succeeding the initial term of the Contract; however, this does not affect either the Department's rights or the Contractor's rights under any termination clause of the Contract.

The Department must notify the Contractor, in writing, at least sixty (60) days prior to the expiration of the Contract or at least one (1) year prior to termination prior to the expiration of the Contract whether funds are available or not available for the continuation of the Contract for each succeeding Contract extension period. The Department must notify the Contractor, in writing, at least one (1) year prior to termination of the Contract if terminated prior to the end of the term of the Contract. In the event of cancellation, as provided in this paragraph, the Contractor will be reimbursed for the unamortized, reasonably incurred, nonrecurring costs.

B. Authority to Contract

This Contract activity is issued under the authority of the Arizona Department of Corrections, Chief Procurement Officer. No alteration of any portion of the Contract, any items or services awarded, or any other agreement that is based upon this Contract may be made without express written approval of the Department in the form of an official Contract amendment. Any attempt to alter any documents on the part of the ordering agency or any Contractor is a violation of the Contract and the Arizona Procurement Code. Any such action is subject to legal and Contractual remedies available to the Department inclusive of, but not limited to, Contract cancellation, suspension and/or debarment of the Contractor.

C. Pricing

The method of compensation governing the Contract shall be fixed price for hardware, software, DDI services, warranties, licenses, maintenance and operations, including the designated pool of modifications hours described in Section IV. The Offerors shall submit an all-inclusive fixed price for all components on the Cost Schedules in Attachment D of this RFP, including:

- DDI Services (Cost Schedule C)
- Maintenance and Operations (Cost Schedule D)

Additional modifications shall be priced at the hourly rates provided in Cost Schedule E.

D. Price Adjustment

The Department may apply a cost of living increase to the annual maintenance and operations costs for specified years if determined to be appropriate by the Department.

E. Rules and Regulations

Attention of the Offerors is called to the requirements specified in Exhibit A, Rules for Non-Employees of the Department of Corrections in Arizona Department Prison Complexes (Exhibit B) which shall be adhered to in all respects.

Should the Contractor require signatures of other parties such as subcontractor or persons directly or indirectly employed by the Contractor, it shall be the Contractor's responsibility to obtain such signatures. The signed document shall be submitted within ten (10) days of notification of intent to award.

F. Award

It is the intention of the Department to award a single Contract for all of the proposed services.

G. Multiple Awards

In order to assure that any ensuing Contracts will allow the Department to fulfill current and future requirements, the Department reserves the right to award Contracts to multiple companies. The actual utilization of any Contract will be at the sole discretion of the Department. The fact that the Department may make multiple awards should be taken into consideration by each Offeror.

H. Unlawful Sexual Conduct

A person – who is employed by ADC or the Department of Juvenile Corrections; is employed by a private prison facility or a city or county jail; contracts to provide services with ADC, the Department of Juvenile Corrections, a private prison facility or a city or county jail; is an official visitor, volunteer or agency representative of ADC, the Department of Juvenile Corrections, a private prison facility or a city or county jail – shall not commit unlawful sexual conduct by intentionally or knowingly engaging in any act of a sexual nature with an offender who is in the custody of ADC, the Department of Juvenile Corrections, a private prison facility or a city or county jail or with an offender who is under the supervision of either Department or a city or county.

This section does not apply to a person who is employed by ADC, a private prison facility or a city or county jail or who contracts to provide services with ADC, a private prison facility or a city or county jail or an offender who is on release status if the person

was lawfully married to the prisoner or offender on release status before the prisoner or offender was sentenced to ADC or was incarcerated in a city or county jail.

Unlawful sexual conduct with an offender who is under fifteen years of age is a class 2 felony. Unlawful sexual conduct with an offender who is between fifteen and seventeen years of age is a class 3 felony. All other unlawful sexual conduct is a class 5 felony.

Unlawful sexual conduct; correctional facilities; classification; Definition A.R.S. §13-1419.

I. Federal Prison Rape Elimination Act 2003

The Contractor shall comply with the Federal Prison Rape Elimination Act of 2003.

J. Documents for Award

The Department will not sign any agreements or any other documents presented for the services listed herein. The completed Offer and Acceptance form signed by the Chief Procurement Officer and the award notice will be the documents for award.

K. Investigations

The Department reserves the right to make investigations, as deemed necessary, to determine the ability of the Contractor to perform the specified work. The Contractor shall provide to the Department all such information and data for this purpose as may be requested. The Department reserves the right to reject any Offer if evidence submitted or investigation fails to satisfy the Department that the Contractor is properly qualified to carry out the obligations of the Solicitation. Conditional Offers shall not be accepted.

L. Rejection of Offers

The Department, at its discretion, may reject any and/or all Offers.

M. Cancellation

The Department reserves the right to cancel the whole or any part of this Contract due to failure by the Contractor to carry out any obligation, term or condition of this Contract. The Department will issue written notice to the Contractor for acting or failing to act as in any of the following:

- The Contractor provides services or material that does not meet the specifications of this Contract;
- The Contractor fails to adequately perform the services set forth in the specifications of this Contract;
- The Contractor fails to complete the services required or to provide the materials required within the time stipulated in the Contract;

- The Contractor fails to progress in the performance of this Contract and/or gives the Department reason to believe that the Contractor will not or cannot perform to the requirements of the Contract.

Upon receipt of the written notice of concern, the Contractor shall have ten (10) days to provide a satisfactory response to the Department. Failure on the part of the Contractor to adequately address all issues of concern may result in the Department resorting to any single or combination of the following remedies:

- Cancel any Contract;
- Reserve all rights or claims of damage for breach or any covenants of the Contract;
- Perform any test or analysis on materials or services for compliance with the specifications of this Contract. If the results of any test or analysis find a material non-compliant with the specifications, the actual expense of testing shall be borne by the Contractor;

In case of default, the Department reserves the right to procure services or to complete the required work in accordance with the Arizona Procurement Code. The Department may recover any actual excess costs from the Contractor or by:

- Deduction from unpaid balance;
- Collection against the Offer and/or performance bond, or;
- Any combination of the above or any other remedies as provided by law.

N. Confidentiality of Records

The Contractor shall establish and maintain procedures and controls, that are acceptable to the Department for the purpose of assuring that no information contained in its records or obtained from the Department or from others in carrying out its functions under the Contract shall be used or disclosed by it, its agents, officers, or employees, except as required to efficiently perform duties under the Contract. Persons requesting such information should be referred to the Department. Contractor also agrees that any information pertaining to individual persons shall not be divulged other than to employees or officers of the Contractor as needed for the performance of duties under the Contract, unless otherwise agreed to in writing by the Department.

O. Indemnification

Contractor shall indemnify, defend, save and hold harmless the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees (hereinafter referred to as "Indemnitee") from and against any and all claims, actions, liabilities, damages, losses, or expenses (including court costs, attorneys' fees, and costs of claim processing, investigation and litigation) (hereinafter referred to as "Claims") for bodily injury or personal injury (including death), or loss or

damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Contractor or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or amount arising out of or recovered under the Workers' Compensation Law or arising out of the failure of such Contractor to conform to any federal, Department or local law, statute, ordinance, rule, regulation or court decree. It is the specific intention of the parties that the Indemnitee shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the Indemnitee, be indemnified by Contractor from and against any and all claims. It is agreed that Contractor will be responsible for primary loss investigation, defense and judgment costs where this indemnification is applicable. In consideration of the award of this contract, the Contractor agrees to waive all rights of subrogation against the State of Arizona, its officers, officials, agents and employees for losses arising from the work performed by the Contractor for the State of Arizona.

This indemnity shall not apply if the Contractor or subcontractor(s) is/are an agency, board, commission or university of the State of Arizona.

P. Insurance

The successful Contractor will be required to provide the following Certification of Insurance within five (5) days after receipt of written notice of intent to award this contract. The Contractor shall provide the Department, certification from insurer(s) for coverage in the minimum amount as stated below. The coverage shall be maintained in full force and effect during the term of this contract and shall not serve to limit any liabilities or any other Contractor obligations.

Contractor and subcontractors shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract, are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Contractor, his agents, representatives, employees or subcontractors.

The insurance requirements herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. The State of Arizona in no way warrants that the minimum limits contained herein are sufficient to protect the Contractor from liabilities that might arise out of the performance of the work under this contract by the Contractor, its agents, representatives, employees or subcontractors, and Contractor is free to purchase additional insurance.

MINIMUM SCOPE AND LIMITS OF INSURANCE: Contractor shall provide coverage with limits of liability not less than those stated below.

Commercial General Liability – Occurrence Form. Policy shall include bodily injury, property damage, personal injury and broad form contractual liability coverage.

- General Aggregate \$2,000,000
- Products - Completed Operations Aggregate \$1,000,000
- Personal and Advertising Injury \$1,000,000
- Blanket Contractual Liability –
Written and Oral \$1,000,000
- Damage to Rented Premises \$ 50,000
- Each Occurrence \$1,000,000
- Excess/Umbrella Liability \$5,000,000

The policy shall be endorsed to include the following additional insured language: “The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor”. Such additional insured shall be covered to the full limits of liability purchased by the Contractor, even if those limits of liability are in excess of those required by this Contract.

Policy shall contain a waiver of subrogation endorsed in favor of the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.

Business Automobile Liability - Bodily Injury and Property Damage for any owned, hired, and/or non-owned vehicles including Department vehicles and equipment used in the performance of this Contract.

- Combined Single Limit (CSL) \$5,000,000
- Vehicle’s actual replacement cost including any trailers and equipment used in the performance of this Contract.
- The policy shall be endorsed to include the following additional insured language: “The State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor, involving automobiles owned, leased, hired or borrowed by the Contractor”. Such additional insured shall be covered to the full limits of liability purchased by the Contractor, even if those limits of liability are in excess of those required by this Contract.
- Policy shall contain a waiver of subrogation endorsement in favor of the State of Arizona, its departments, agencies, boards, commissions, and its officer, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.
- The Arizona Department of Corrections shall be named as loss payee for any loss or damages to Department owned vehicles, trailers or equipment used in the performance of this Contract.

Worker's Compensation and Employers' Liability

- Workers' Compensation Statutory
- Employers' Liability:
- Each Accident \$ 500,000
- Disease – Each Employee \$ 500,000
- Disease – Policy Limit \$1,000,000
- Policy shall contain a waiver of subrogation endorsement in favor of the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.
- This requirement shall not apply to: Separately, each Contractor or Subcontractor exempt under A.R.S. §23-901, and when such Contractor or Subcontractor executes the appropriate waiver (Sole Proprietor/Independent Contractor) form.

Professional Liability (Errors and Omissions Liability)

- Each Claim \$1,000,000
- Annual Aggregate \$2,000,000
- In the event that the professional liability insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract; and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
- The policy shall cover professional misconduct or lack of ordinary skill for those positions defined in the Scope of Work of this contract.

Network Security (Cyber) and Privacy Liability

- Each Claim \$10,000,000
- Annual Aggregate \$10,000,000
- This errors and omissions insurance shall include coverage for third party claims and losses with respect to network risks (such as data breaches, unauthorized access or use, ID theft, theft of data) and invasion of privacy regardless of the type of media involved in the loss of private information (such as computers, paper files and records, or voice recorded tapes). The retroactive coverage date shall be no later than the effective date of this contract. The Contractor shall maintain an extended reporting period for not less than two (2) years after termination of this contract.

ADDITIONAL INSURANCE REQUIREMENTS: The policies shall include, or be endorsed to include, the following provisions:

- The Contractor's policies shall stipulate that the insurance afforded the Contractor shall be primary insurance and that any insurance carried by the Department, its agents, officials, employees or the State of Arizona shall be excess and not contributory insurance, as provided by Arizona Revised Statutes Section 41-621 (C).
- Coverage provided by the Contractor shall not be limited to the liability assumed under the indemnification provisions of this Contract.

NOTICE OF CANCELLATION: With the exception of ten (10) day notice of cancellation for non-payment of premium, any changes material to compliance with this contract in the insurance policies above shall require thirty (30) days written notice to the State of Arizona. Such notice shall be sent directly to (State of Arizona Department of Corrections, 1601 West Jefferson Street, M/C 55302, Phoenix, AZ 85007-3002 and shall be sent by certified mail, return receipt requested.

ACCEPTABILITY OF INSURERS: Insurance shall be placed with companies duly licensed in the State of Arizona or hold approved non-admitted status on the Arizona Department of Insurance List of Qualified Unauthorized Insurers. Insurers shall have an "A.M. Best" rating of not less than A- VII or approved non-admitted insurers in the State of Arizona with an "A.M. Best" rating of not less than A-VII. The State of Arizona in no way warrants that the above-required minimum insurer rating is sufficient to protect the Contractor from potential insurer insolvency.

VERIFICATION OF COVERAGE: Contractor shall furnish the State of Arizona with certificates of insurance (ACORD form or equivalent approved by the State of Arizona) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer on its behalf.

All certificates and endorsements are to be received and approved by the State of Arizona before work commences. Each insurance policy required by this Contract must be in effect at or prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.

All certificates required by this Contract shall be sent directly to State of Arizona Department of Corrections, 1601 West Jefferson Street, M/C 55302, Phoenix, AZ 85007-3002. The State of Arizona project/contract number and project description shall be noted on the certificate of insurance. The State of Arizona reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time.

SUBCONTRACTORS: Contractors' certificate(s) shall include all Subcontractors as insureds under its policies or Contractor shall furnish to the State of Arizona separate certificates and endorsements for each Subcontractor. All coverages for Subcontractors shall be subject to the minimum requirements identified above.

APPROVAL: Any modification or variation from the insurance requirements in this Contract shall be made by the contracting agency in consultation with the Department of Administration, Risk Management Division. Such action will not require a formal Contract amendment, but may be made by administrative action.

EXCEPTIONS: In the event the Contractor or sub-Contractor(s) is/are a public entity, then the Insurance Requirements shall not apply. Such public entity shall provide a Certificate of Self-Insurance. If the Contractor or sub-Contractor(s) is/are a State of Arizona agency, board, commission, or university, none of the above shall apply.

Q. Independent Status of the Contractor

The Contractor is an independent Contractor and will not, under any circumstances, be considered an employee, servant or agent of the Department, nor will the employees, servants or agents of the Contractor be considered employees of the Department.

Personnel actions of employees on the Contractor's payroll shall be the Contractor's responsibility. The Contractor shall comply with all applicable government regulations related to the employment, compensation and payment of personnel.

The Department will not be responsible in any way for the damage or loss caused by fire, theft, accident, or otherwise to the Contractor's stored supplies, materials, equipment, or his employee's personal property stored on Department property.

R. Performance/Payment Bonds

Successful Contractor shall be required to submit a fully executed 100% Statutory Performance Bond and 100% Statutory Payment Bond (DOC Forms 302 and 303), within five (5) days written notice of the Department's intent to award this contract. Bonds shall be submitted for the initial implementation period. In addition, these Bonds shall remain in effect for one year after the Solution acceptance date. Bonds shall be submitted annually based on the award date. The initial bonds based on award shall be based on 100% of the Offeror's total DDI price as proposed on Cost Schedule C and approved in the Contract.

S. Notice Warning

Any person who takes into or out of or attempts to take into or out of a correctional facility or the grounds belonging to or adjacent to a correctional facility, any item not specifically authorized by the correctional facility, shall be prosecuted under the provisions of the Arizona Revised Statutes. All persons, including employees and visitors, entering upon these confines are subject to routine searches of their persons, vehicles, property or packages.

Definition: A.R.S. §13-2501:
 A.R.S. §13-2505,

T. Contraband

Contraband means any dangerous drug, narcotic drug, intoxicating liquor of any kind, deadly weapon, dangerous instrument, explosive or any other article whose use of or possession would endanger the safety, security or preservation of order in a correctional facility or any person therein. (Any other article includes any substance which could cause abnormal behavior, i.e., marijuana, nonprescription medication, etc.)

Promoting prison contraband A.R.S. §13-2505:

- A person, not otherwise authorized by law, commits promoting contraband:
- By knowingly taking contraband into a correctional facility or the grounds of such a facility; or
- By knowingly conveying contraband to any persons confined in a correctional facility; or
- By knowingly making, obtaining, or possessing contraband in a correctional facility.

Promoting Prison Contraband is a Class 5 felony:

Definition: A.R.S. §13-2501:
A.R.S. §13-2505,
ADC Department Order 708

U. Business Standing A.R.S. §10-1501

A selected Contractor whose business structure requires that documents be filed regularly with the Arizona Corporation Commission (ACC) must remain in good standing with the ACC during the term of the Contract. An out-of-Department firm selected for Contract award must file necessary documents with the ACC as doing business in Arizona prior to execution of the Contract and, throughout the term of the Contract, must remain in good standing with the ACC and the entity where the original documents were filed.

VI. Government Procurement; E-Verify Requirement A.R.S. §41-4401

The Contractor warrants compliance with all Federal Immigration laws and regulations relating to employees and warrants its compliance with Section A.R.S. §23-214, Subsection A. (That subsection reads: “After December 31, 2007, every employer, after hiring an employee, shall verify the employment eligibility of the employee through the E-Verify program.”)

A breach of a warranty regarding compliance with immigration laws and regulations shall be deemed a material breach of the contract and the Contractor may be subject to penalties up to and including termination of the contract.

Failure to comply with a Department audit process to randomly verify the employment records of Contractors and subcontractors shall be deemed a material breach of the contract and the Contractor may be subject to penalties up to and including termination of the contract.

The Department Agency retains the legal right to inspect the papers of any employee who works on the contract to ensure that the Contractor or subcontractor is complying with the warranty under paragraph identified herein.

A. End of Contract Transition

In the event that a contract is terminated for any reason, or expires, the Contractor shall assist the Department in the transition to a new Contractor as defined in Section III, Turnover Services. In addition, the Department reserves the right to extend the term of the contract on a month to month basis to assist in the transition of services to a new Contractor. The Contractor shall make provision for continuing all management and administrative services until the transition of services is complete and all other requirements of the contract are satisfied. The Contractor shall be responsible during the transition for all requirements within the Contract.

B. Liquidated Damages

The Contractor shall, at all times, comply with all system and operational performance requirements and expectations specified in this RFP.

The Contractor further warrants that it shall meet all performance requirements listed in the Contract. The Contractor shall, at all times, operate the Solution and its activities in conformity with the policies and procedures of the ADC.

All requirements described in the RFP are subject to monitoring by the Department, or its designee.

Failure of the Contractor to meet these performance requirements in a timely and accurate manner could impede the Department in meeting its obligation to its citizens and increase the cost of meeting those obligations.

The Department agrees that the amounts stated for each occurrence of such performance failure define the maximum damages due from the Contract, and that the Department shall adjust the amount downward to eliminate any proportion of the damage caused by the Contractor's failure to meet its contractual responsibility.

In the event of cascading Contractor failures to meet applicable Service Level Agreements resulting from failure to meet a single Service Level Agreement subject to liquidated damages, the Department will be entitled to assess only the highest liquidated damages amount resulting from failure to meet the single failure. There will be no concurrent application of liquidated damages resulting from cascading failures related to a single failure.

If the Department elects to not exercise a damage clause in a particular instance, this decision shall not be construed as a waiver of its right to pursue associated damages for failure to meet that performance requirement in the future.

1. Deliverables

If Contractor does not deliver a Deliverable in conformance with the Acceptance criteria set forth in the Section III by the due dates and dates for Acceptance specified, or as provided below, the Department shall assess liquidated damages at the rate of three hundred dollars (\$300) per Deliverable for each day or portion thereof that the Deliverable is late and does not meet the Acceptance Criteria. The date for delivery of a Deliverable that meets all Acceptance criteria may be extended as agreed to in writing by the Department in which event, liquidated damages would not apply unless the Deliverable was not delivered by the new date.

If pursuant to this, a timely delivered Deliverable is determined to not be in conformance with Acceptance criteria and Contractor corrects the deficiencies so that the Deliverable meets Acceptance criteria within seven (7) calendar days of notice of non-Acceptance from the Department, no liquidated damages pursuant to this paragraph shall be assessed. If at the end of that time, the Deliverable still does not meet Acceptance criteria, then liquidated damages shall be assessed from the first day that the Acceptance criteria for that Deliverable was not met.

2. Corrective Action Plan

Contractor shall provide and execute Corrective Action Plans (CAPs) as directed by the Department. If the Contractor fails to prepare a CAP acceptable to the Department by the agreed-upon due date, Contractor shall be assessed liquidated damages of twelve hundred dollars (\$1,200) for each day, or portion thereof, that an acceptable CAP remains undelivered.

For each delivered CAP, if the CAP is not successfully executed or its execution does not correct the identified Defect to be remedied by the CAP, or correct the Defect within the time specified in the CAP, the Contractor shall be assessed liquidated damages of twenty-eight hundred dollars (\$2,800) for each day, or portion thereof, where the CAP Defect remains uncorrected.

3. Failure to Correct a Defect

Contractor shall correct all Defects in a timely manner. If the ADC Project Manager determines that Contractor has not corrected a Priority 1 or 2 Defect in the time required in Section III of this RFP, the ADC Project Manager shall impose liquidated damages of twelve hundred dollars (\$1,200) per day until the Defect is corrected.

4. Staff

Contractor shall provide Staff pursuant to Key Staffing Requirements specified in the Section III and Exhibit E. In the event Contractor does not provide required Staff or provide Department access to required Staff, the ADC Project Manager shall assess liquidated damages at the rate of twenty-five hundred dollars (\$2,500) per day for each required Staff member not so provided, unless the failure to provide or provide access to such staff is beyond Contractor's control.

5. Turnover Services

Contractor shall implement the Turnover Plan and perform all tasks in a timely manner, including but not limited to, the transfer of all materials, documentation, licenses, tools, and related data so that there is no disruption or discontinuity in system service from Contractor to the Department or Department's designee. The Department shall assess liquidated damages in the amount of ten thousand (\$10,000) per day for any failure of Contractor to comply with any Turnover requirements. Any duties and obligations of the Contractor under the Contract necessary to complete closeout that have not been performed at the time of Contract termination shall holdover and continue in effect beyond any expiration or termination of the Contract term. It shall be a pre-condition to Contractor receiving any final payments under the Contract, including any withholds, that Contractor shall have completed all work and provided all materials for the complete migration of the system to the Department or Department's designee.

C. Payment

1. Payment for Requirements Definition, Design, Development, Configuration, Conversion, Testing, Training, and Implementation Activities

The Department will pay a firm fixed price upon completion and the Department's approval of each payment deliverable listed in the Contract based on Cost Schedule C in Attachment D as finalized in the Contract resulting from this procurement. This list represents each and every payment deliverable for all activities described in Sections V.

Ten percent (10%) of the price of each payment deliverable proposed as finalized in the Contract will be retained until completion and The Department's approval of all implementation activities (requirements definition, design, development,

configuration, conversion, testing, training, and implementation) as stated in Section III. The Department may, at its option, release the ten percent (10%) withhold of each deliverable if a payment deliverable is completed and approved prior to the schedule approved in the Contract.

2. Payments for Maintenance, Operations, and Modifications

The Department will authorize monthly payments of Solution Maintenance and Operations services upon approved invoices submitted by the Contractor. Solution Maintenance and Operations payments will be based on provisions for SLAs as described in this section as finalized in the Contract. Monthly payments will include the following:

- Solution Maintenance and Operations Services – The Department shall pay the Contractor a base annual price for maintenance and operations of the Solution and related systems. The Solution Maintenance and Operations Price will include hosting, operations, maintenance, and related costs. These costs shall be invoiced on a monthly basis in equal monthly payments. The Solution Maintenance and Operations Price shall be based on the amount proposed in Cost Schedule D in and finalized in the Contract resulting from this procurement.
- Modification Services – Monthly Solution Maintenance and Operations payments will include costs for modification services provided within the Modification Hours defined in Sections V and VII of the RFP. Additional Modification Services will be reimbursed at the rates proposed on Cost Schedule D, as finalized in the Contract.

The Department will reimburse the Contractor for any pass-through expenses approved in the Contract.

3. Service Level Agreements

The Department shall monitor the Contractor's performance during Maintenance and Operations using a performance reporting system to be implemented by the Contractor. Each SLA established in the Contract establishes the performance level expected by the Department in a particular area. Key Performance Indicators (KPIs) are identified within each SLA and are to be measured and reported each month by the Contractor. The SLAs are:

- System Response
- User Response Time
- System Availability and Reliability
- System Accuracy
- Maintenance / Updates / Upgrades
- Data Integrity / Destruction
- Security

- Incidence Response Time / Target
- User Support
- Training
- Contractor Staffing
- Reporting

The KPIs used to define the service levels are an adjunct to the performance standards established in Section III. The Department has identified the KPIs to be key indicators of the Contractor's operational performance. Failure to achieve a KPI may, at the discretion of the Department, result in financial retainage at the amounts proposed in Table 8 in Section V of this RFP and finalized in the Contract.

The Department and the Contractor agree that failure by the Contractor to perform in accordance with established KPIs results in a loss to the Department. If the Contractor fails to meet the KPIs identified in the SLAs listed in the Contract, the Department may retain a percentage of the billed amount, as identified in the Contract, and deduct the specified amounts from the fees due to the Contractor for the total of Solution Maintenance and Operations Price billed that month.

4. Other Payments

No other payments will be made for deliverables or services provided under this contract without written amendment of the Contract. No separate payment will be made for Project Initiation or Turnover Services.

D. Use of Funds

The Contractor shall not use any public funds for purposes of entertainment perquisites and shall comply with any and all conditions applicable to the public funds to be paid under this contract, including those provisions of appropriate acts of the Legislature or by administrative rules adopted pursuant to law.

E. Solution Ownership

The State will own any software that is designed, developed, installed, or enhanced under the Contract resulting from this RFP. The State will have unlimited license(s) to use any proprietary software owned by the Contractor that is necessary to operate and maintain the Solution, and agrees to pay the contract price for the license(s).

F. Offshore Performance of Work Prohibited

Due to security and identity protection concerns, all services under this Contract shall be performed within the borders of the United States. Any services that are described in the specifications or scope of work that directly serve the State of Arizona or its clients and may involve access to secure or sensitive data or

personal client data or development or modification of software for the State shall be performed within the borders of the United States. Unless specifically stated otherwise in the specifications, this definition does not apply to indirect or 'overhead' services, redundant backup services or services that are incidental to the performance of the Contract. This provision applies to work performed by subcontractors at all tiers. Offerors shall declare all anticipated offshore services in their proposal.

G. Federal Immigration and Nationality Act

By entering into this contract, the contractor warrants compliance with the Federal Immigration and Nationality Act (FINA) and all other Federal immigration laws and regulations related to the immigration status of its employees. The Contractor shall obtain statements from its subcontractors certifying compliance and shall furnish the statements to the Procurement Officer upon request. These warranties shall remain in effect through the term of the contract. The Contractor and its subcontractors shall also maintain Employment Eligibility Verification forms (I-9) as required by the U.S. Department of Labor's Immigration and Control Act, for all employees performing work under the contract. I-9 forms are available for download at: www.USCIS.GOV.

H. Applicable Law:

In accordance with A.R.S. 41-2501 and AAC R2-7-101 et seq, contract shall be governed and interpreted by the laws of the State of Arizona and the Arizona Procurement Code.

I. Contractor Training

All Contractors shall follow the Information Technology's Department Order 102. The DO102 includes the training requirement that "All Contractors who are authorized to possess or are using any Department computing device shall be required, as part of their contractual agreement, to ensure all staff on Department properties has taken and completed the "Information Technology and Security Awareness" Computer Based Training course."

J. Information Technology Special Terms and Conditions

Indemnification. Contractor shall indemnify, defend with counsel, reasonably approved by the State, and hold harmless, the State, its departments, agencies, boards, commissions, universities, officers, agents and employees (collectively, the "Indemnitee") from and against any and all claims, actions, damages, costs (including attorney's fees), and losses arising under this Contract, including, but not limited to, bodily injury or personal injury (including death) or loss or damage to tangible or intangible property, but excluding damages arising solely from the gross negligence or willful misconduct of the Indemnitee. This indemnification obligation includes any claim or amount arising out of, or recovered under, the

Worker's Compensation Law or arising out of the failure of Contractor to comply with any federal, state or local law, statute, ordinance, rule, regulation or court decree. Contractor shall have control, subject to the reasonable approval of the State, of the defense of any action on such claim and all negotiations for its settlement or compromise, provided, however, that when substantial principles of government or public law are involved, or when involvement of the State is otherwise mandated by law, the State may elect, in its sole and absolute discretion, to participate in such action at its own expense with respect to attorneys' fees and costs, but not liability, and the State shall have the right to approve or disapprove any settlement, which approval shall not be unreasonably withheld or delayed. The State shall reasonably cooperate in its defense and any related settlement negotiations.

Indemnification – Patent and Copyright. With respect solely to Materials provided or proposed by Contractor or Contractor's agents, employees, or subcontractors (each a "Contractor Party") for performance of this Contract, Contractor shall indemnify, defend and hold harmless the State, its departments, agencies, boards, commissions, universities, officers, agents and employees (collectively, the "Indemnatee"), against any third-party claims for liability, including, but not limited to, reasonable costs and expenses, including attorney's fees, for infringement or violation of any patent, trademark, copyright or trade secret, by such Materials or the State's use thereof.

In addition, with respect to claims arising from computer hardware or software manufactured or developed solely by a third party, Contractor shall pass through to the State such indemnity rights as it receives from such third party (the "Third Party Obligation") and will cooperate in enforcing them; provided, however, that (1) if the third party manufacturer fails to honor the Third Party Obligation, or (2) the Third Party Obligation is insufficient to fully indemnify the State, Contractor shall indemnify, defend and hold harmless the State against such claims in their entirety or for the balance of any liability not fully covered by the Third Party Obligation.

The State shall reasonably notify the Contractor of any claim for which Contractor may be liable under this section. If the Contractor is insured pursuant to A.R.S. §41-621 and 35-154, this section shall not apply. Contractor shall have control, subject to the reasonable approval of the State, of the defense of any action on such claim and all negotiations for its settlement or compromise, provided however, that when substantial principles of government or public law are involved or when involvement of the State is otherwise mandated by law, the State may elect, in its sole and absolute discretion, to participate in such action at its own expense with respect to attorney's fees and costs, but not liability, and the State shall have the right to approve or disapprove any settlement, which approval shall not be unreasonably withheld or delayed. The State shall reasonably cooperate in the defense and any related settlement negotiations.

If Contractor believes at any time that any Materials provided or in use pursuant to this Contract infringe a third party's intellectual property rights, Contractor shall, at Contractor's sole cost and expense, and upon receipt of the State's prior written consent, which shall not be unreasonably withheld, (1) replace an infringing Material with a non-infringing Material; (2) obtain for the State the right to continue to use the infringing Material; or (3) modify the infringing Material to be non-infringing, provided that following any replacement or modification made pursuant to the foregoing, the Material continues to function in accordance with the Contract. Contractor's failure or inability to accomplish any of the foregoing shall be deemed a material breach of this Contract.

Notwithstanding the foregoing, Contractor shall not be liable for any claim for infringement based solely on any Indemnitee's:

- (1) Modification of Materials provided by Contractor other than as contemplated by the Contract or the specifications of such Materials or as otherwise authorized or proposed in any way by Contractor or a Contractor Party;
- (2) Use of the Materials in a manner other than as contemplated by this Contract or the specifications of such Materials, or as otherwise authorized or proposed in any way by Contractor or a Contractor Party; or
- (3) Use of the Materials in combination, operation, or use with other products in a manner not contemplated by the Contract, or, the specifications of such Materials, or as otherwise authorized or proposed in any way by Contractor or a Contractor Party.

Contractor certifies, represents and warrants to the State that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of the Contract for the acquisition, operation or maintenance of Materials in violation of intellectual property laws.

Ownership of Intellectual Property. Any and all intellectual property, including but not limited to copyright, invention, trademark, trade name, service mark, or trade secrets created or conceived solely pursuant to or as a result of this Contract and any related subcontract (collectively, the "Intellectual Property"), shall be work made for hire and the State shall be the owner of such Intellectual Property. The agency, department, division, board or commission of the State of Arizona requesting the issuance of this Contract shall own (for and on behalf of the State) the entire right, title and interest to the Intellectual Property throughout the world. Software and other Materials developed or otherwise obtained by or for Contractor or its affiliates independently of this Contract ("Independent Materials") do not constitute Intellectual Property.

If Contractor creates derivative works of Independent Materials, then the elements of such derivative works created pursuant to this Contract shall constitute Intellectual Property owned by the State. Contractor shall notify the State, within thirty (30) days, of the creation of any Intellectual Property by it or its subcontractor(s). Contractor, on behalf of itself and any subcontractor(s), agrees to execute any and all document(s) necessary to assure ownership of the Intellectual Property vests in the State and shall take no affirmative actions that might have the effect of vesting all or part of the Intellectual Property in any entity other than the State. The Intellectual Property shall not be disclosed by Contractor or its subcontractor(s) to any entity not the State without the express written authorization of the agency, department, division, board or commission of the State of Arizona requesting the issuance of this Contract.

Notwithstanding the foregoing, if the State elects, in its sole and absolute discretion, to relinquish its ownership interest in any or all of the Intellectual Property, the State shall have the rights to use, modify, reproduce, release, perform, display, sublicense or disclose such Intellectual Property within State government and operations without restriction for any activity in which the State is a party (collectively, "Government Purpose Rights").

Warranties

Liens. The Contractor warrants that the Materials supplied under this Contract are free of liens and shall remain free of liens.

Quality. Unless otherwise modified elsewhere in the terms and conditions, the Contractor warrants that, for one year after acceptance by the State, the Materials shall be:

- Of a quality to pass without objection in the trade under the Contract description;
- Fit for the intended purposes for which the Materials are used;
- Conform to the written promises or affirmations of fact made by the Contractor; and
- Fully compatible with the State's computer hardware and software environment.

Fitness. The Contractor warrants that any Materials supplied to the State shall fully conform to all requirements of the Contract and all representations of the Contractor, and shall be fit for all purposes and uses required by the Contract.

Compliance with Applicable Laws. The Materials and services supplied under this Contract shall comply with all applicable Federal, state and local laws, and the Contractor shall maintain all applicable license and permit requirements.

Contractor represents and warrants to the State that Contractor has the skill and knowledge possessed by members of its trade or profession and Contractor will

apply that skill and knowledge with care and diligence so Contractor and Contractor's employees and any authorized subcontractors shall perform the Services described in this Contract in accordance with the Scope of Work.

Contractor represents and warrants that the Materials provided through this Contract and Scope of Work shall be free of viruses, backdoors, worms, spyware, malware and other malicious code that will hamper performance of the Materials, collect unlawful personally identifiable information on users or prevent the Materials from performing as required under the terms and conditions of this Contract.

Survival of Rights and Obligations after Contract Expiration or Termination.

Contractor's Representations and Warranties. All representations and warranties made by the Contractor under this Contract shall survive the expiration or termination hereof. In addition the parties hereto acknowledge that pursuant to A.R.S. §12-510, except as provided in A.R.S. §12-529, the State is not subject to or barred by any limitations of actions prescribed in A.R.S. Title 12, Chapter 5.

Purchase Orders. The Contractor shall, in accordance with all terms and conditions of the Contract, fully perform and shall be obligated to comply with all purchase orders received by the Contractor prior to the expiration or termination hereof, unless otherwise directed in writing by the Procurement Officer including, without limitation, all purchase orders received prior to, but not fully performed and satisfied at the expiration or termination of, this Contract.

Exhibit A - Intentionally Left Blank

Exhibit B - Arizona State Prisons

ARIZONA STATE PRISONS	
Arizona State Prison Complex - Douglas (ASPC-D)	
<u>Physical Address</u>	<u>Mailing Address</u>
6911 North B.D.I. Blvd. Douglas, Arizona 85608	P.O. Drawer 3867 Douglas, Arizona 85608-3867
Arizona State Prison Complex-Douglas/Papago (ASPC-D/Papago)	
<u>Physical Address</u>	<u>Mailing Address</u>
25 16 th Street Douglas, Arizona 85607	P.O. Box 5005 Douglas, Arizona 85608-5005
Arizona State Prison Complex - Eyman (ASPC/E)	
<u>Physical Address</u>	<u>Mailing Address</u>
4374 East Butte Avenue Florence, Arizona 85232	P.O. Box 3500 Florence, Arizona 85232-3500
Arizona State Prison Complex - Florence (ASPC-F)	
<u>Physical Address</u>	<u>Mailing Address</u>
1305 East Butte Avenue Florence, Arizona 85132	P.O. Box 629 Florence, Arizona 85132-0629
Arizona State Prison Complex - Florence/Picacho (ASPC-F/Picacho)	
<u>Physical Address</u>	<u>Mailing Address</u>
25230 Picacho Boulevard Picacho, Arizona 85131	25230 Picacho Blvd. Picacho, Arizona 85131
Arizona State Prison Complex - Lewis (ASPC/L)	
<u>Physical Address</u>	<u>Mailing Address</u>
26700 South Hwy. 85 Buckeye, Arizona 85326	P.O. Box 70 Buckeye, Arizona 85326
Arizona State Prison Complex - Perryville (ASPC-PV)	
<u>Physical Address</u>	<u>Mailing Address</u>
2014 North Citrus Road Goodyear, Arizona 85338-0901	P.O. Box 3000 Goodyear, Arizona 85338-0901
Arizona State Prison Complex -Phoenix (ASPC-Phoenix)	
<u>Physical Address</u>	<u>Mailing Address</u>
2500 East Van Buren Street Phoenix, Arizona 85008	P.O. Box 52109 Phoenix, Arizona 85072-2109
Arizona State Prison Complex - Florence/Globe(ASPC-F/Globe)	
<u>Physical Address</u>	<u>Mailing Address</u>
1000 Fairgrounds Road Globe, Arizona 85501	P.O. Box 2799 Globe, Arizona 85502-2799
Arizona State Prison Complex - Safford (ASPC-S)	
<u>Physical Address</u>	<u>Mailing Address</u>
896 South Cook Road Safford, Arizona 85546	P.O. Box 2222 Safford, Arizona 85548-2222

ARIZONA STATE PRISONS CONTINUED

Arizona State Prison Complex - Safford/Fort Grant (ASPC/S/FG)	
<u>Physical Address</u>	<u>Mailing Address</u>
15500 South Fort Grant Road	P.O. Box 4399
Spur Route 266 & Curtis Parkway	Ft. Grant, Arizona 85644-4000
Fort Grant, Arizona 85644	

Arizona State Prison Complex - Tucson (ASPC/T)	
<u>Physical Address</u>	<u>Mailing Address</u>
10000 South Wilmot Road	P.O. Box 24400
Tucson, Arizona 85734	Tucson, Arizona 85734-4400

Southern Arizona Correctional Release Center (SACRC)	
1275 West Star Pass Boulevard	
Tucson, Arizona 85713	

Arizona State Prison Complex - Winslow (ASPC-W)	
<u>Physical Address</u>	<u>Mailing Address</u>
2100 South Highway 87	Same
Winslow, Arizona 86047	

Arizona State Prison Complex - Winslow/Apache (ASPC-W/Apache)	
<u>Physical Address</u>	<u>Mailing Address</u>
38322 U.S. Highway 180	P.O. Box 3240
St. Johns, Arizona 85936	St. Johns Arizona 85936-3240

Arizona State Prison Complex - Yuma (ASPC-Y)	
<u>Physical Address</u>	<u>Mailing Address</u>
7125 East Juan Sanchez Blvd.	P.O. Box 13004
San Luis, Arizona 85349	Yuma, Arizona 85366-3004

Arizona State Prison Complex - CACF (GEO)	
<u>Physical Address</u>	<u>Mailing Address</u>
1401 E. Diversion Dam Rd.	P.O. Box 9400
Florence, Arizona 85132	Florence, Arizona 85132

Arizona State Prison Complex - Florence West (GEO)	
<u>Physical Address</u>	<u>Mailing Address</u>
915 E. Diversion Dam Rd.	P.O. Box 1599
Florence, Arizona 85132	Florence, Arizona 85132

Arizona State Prison Complex - Kingman (MTC)	
<u>Physical Address</u>	<u>Mailing Address</u>
4626 W. English Dr.	P.O. Box 3939
Golden Valley, Arizona 86414	Kingman, Arizona 86402

Arizona State Prison Complex - Marana (MTC)	
<u>Physical Address</u>	<u>Mailing Address</u>
12610 W. Silverbell Rd.	12610 W. Silverbell Rd.
Marana, Arizona 85653	Marana, Arizona 85653

Arizona State Prison Complex - Phoenix West (GEO)	
<u>Physical Address</u>	<u>Mailing Address</u>
3402 W. Cocopah	3402 W. Cocopah
Phoenix, Arizona 85009	Phoenix, Arizona 85009

A sixth private prison facility is scheduled to open in January 2014 in Red Rock, AZ. The Department reserves the right to add or delete Prison Institutions and service locations for implementation of the Solution. The Contractor will be responsible for implementation of the Solution at all prison complexes active on the implementation date.

Exhibit C - Contents of the Bidder's Library

This exhibit provides a list of the contents of the Bidders' Library.

ADC Organization Charts
ADC 5-Year Plan
ADC Departmental Orders
<p>Links to:</p> <p>A.R.S. § Title 13 Criminal Code,</p> <p>A.R.S. § Title 31 Prisons and Prisoners</p> <p>A.R.S. § Title 28 Transportation, Article 3. Driving Under the Influence.</p> <p>A.R.S. § Title 41-3504 Government Information Technology Agency (ADOA-ASET)</p> <p>Statewide Policy P100, Information Technology.</p> <p>Statewide Policy P105, Policies, Standards, and Procedures (PSP).</p> <p>Statewide Procedure S105-P105, Policies, Standards, and Procedures (PSP).</p> <p>http://www.aset.azdoa.gov/enterprise-architecture-framework-and-strategies</p> <p>http://www.aset.azdoa.gov/security/policies-standards-and-procedures</p> <p>http://aset.azdoa.gov/security/forms</p> <p>A.R.S. § Title 41-3507(E) Reporting of Security and Data Privacy Incidents (ADOA-ASET)</p> <p>A.R.S. § Title 44, Chapter 32 (ARS 44-7501) Notification for Compromised Personal Information (Arizona Data Breach Notification Law)</p>
ADC Security Policies
Electronic Records Management Guidelines for State Government.
ADC Business Process Analysis Document
Business Application Manuals/Guides (GRITS, etc.)
Application Forms (Visitation 911-1 Form, etc.)
Business Flow Charts (Intake, Grievance, etc.)
DOA Infrastructure Documentation
ADC Infrastructure Documentation
AIMS Screens
AIMS Reports Listing (Note: copies of sample reports will be available at a date to be determined by ADC)
AIMS Application Documentation
AIMS Database Documentation
ADC Optical Print and Photo Image Subsystem (OPPIS) Documentation
ADC Digi-Web Scan Documentation

ADC Mug Photo Interface System Documentation
ADC Live Scan Documentation
ADC DNA/Paternity DNA Documentation
AIMS PC Application Documentation
AIMS Interface Documentation
ADC Third Party Products Documentation (Keefe, Epicor, Securice etc.)
HWD Business Rules for types of resolution documents required. HWD Business Rules for inmates released court the required a ADC Hold/Detainer HWD Business Rules to generate an escape bulletin for law enforcement
Copy of Scheduling Master List

Exhibit D - AIMS PC Application Matrix

This exhibit includes an inventory of existing PC Application systems, which have been identified as being impacted by the Solution implementation based on the analysis described above. Systems are listed in alphabetical order by System Owner and System Name. For each system, the following information is provided:

- System Owner – Lists the name of the agency using the system. For statewide and other systems used by multiple agencies, the name of the agency responsible for administering the system is listed.
- System Name – Lists the name of the system as used by the agency. In cases where the system uses packaged software and the system name differs from the packaged software name, the packaged software name is referenced in the system description. Note that the system already exists unless the System Name is followed by a planned implementation year.
- Brief System Description – The description provides a variety of available information such as the functionality supported by the system, implementation year, packaged software and technology used, existing interfaces, etc.
- Functional Areas – Lists codes indicating which functional areas are supported by each system:
 - IN – Intake
 - CL – Classification
 - SE – Sentence Calculation
 - PM – Population Management
 - GM – Gang Management
 - HW – Holds, Warrants and Detainers
 - SC – Scheduling
 - DI – Discipline
 - PR – Program
 - GA – Grievances/Appeals
 - VI – Visitation
 - RE – Religious Services
 - CI – Arizona Correctional Industries (ACI)
 - CC – Community Corrections
- AIMS OMS Impact – Lists the following types of anticipated impacts:
 - Interface – One or more interfaces are expected between the listed system and the Solution.
 - Retire – The system is expected to be incorporated into the Solution, fully retired and no longer updated. It is possible that some of these systems may need to remain in a read-only mode for a period of time after the Solution implementation to meet record retention requirements.

- Retire Partially – Portions of currently usage functionality will migrate over to the Solution, but other functionality will continue to be used. The Contractor will be required to interface the system with the Solution system as indicated.
- Retire Early – There are projects underway that would allow these systems to be retired prior to implementing the Solution based on current project plans. However, these systems are listed because delays in retiring these systems early will require interfacing or data conversion by the Contractor as indicated.
- To Be Determined (TBD) – More analysis is required to determine the impact, if any. Systems are listed with an impact of TBD when limited information is currently known about the system or the system provides functionality that has traditionally been on the periphery of functionality offered by typical offender management systems. More information is needed regarding how well the Solution ultimately selected meets the business needs supported by the existing software.
- Conversion Needed – Indicates whether data from this system needs to be converted and incorporated into the Solution. Numerous systems are listed where the Expected OMS Impact is 'Retire' but Data Conversion Needed is "No" because source data exists elsewhere. There are also some systems with an Expected Solution Impact of "Interface" but Data Conversion Needed is "Yes" because some data, such as customer master data, would need to be converted to enable the interface.
- Explanation of Solution Impact / Conversion Needed – Provides clarification regarding the combination of values listed for Expected Solution Impact and Data Conversion Needed.

AIMS PC Applications

1	Offender Services	Bed Count	Tracks inmates vs. empty beds/vacancies, and detention.	PM	Retire	Yes	Need to confirm this functionality is provided by Solution before this system can be retired
2	Offender Services	Inmate Assessment Testing	Software to gather information from inmates at time of entrance into the system.	IN	Retire/ Interface	No	Need to confirm this functionality is provided by Solution before this system can be retired
3	Offender Services	Inmate Movement	Schedules transportation of inmates going on medical appointment.	PM	Retire	Yes	Need to confirm this functionality is provided by Solution before this system can be retired
4	Offender Services	Inmate Letter	Produces notification to inmates of changes in the movement and or classification.	PM, CL	Retire	No	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
5	Agency Wide Prison Complexes	Assault Tracking System	Tracks inmate assaults in institutions, reference AIMS DI67 screen.	GM	Retire	Yes	Need to confirm this functionality is provided by Solution before this system can be retired
6	Inspector General / Offender Operations	Criminal Investigation Bureau (CIB)	Tracks criminal related offenses committed in prison.	GM	Retire	Yes	Need to confirm this functionality is provided by Solution before this system can be retired

7	Counseling and Treatment Services	Counseling and Treatment Services (CTS)	Used statewide by counselors and administrative staff to enter the time and programs a counselor has with an inmate or inmates on a daily basis. Reports are produced for ADC for tracking Counseling and Treatment Services.	PR – Counseling & Treatment	Retire	Yes	Need to confirm this functionality is provided by Solution before this system can be retired
8	Counseling and Treatment Services	Regional Behavioral Health Authority (RBHA) System	Receives medical files from Department of Health Service (DHS), processes them to identify which inmates are Seriously Mentally ill (SMI), then updates the file and send the medical file back to DHS.	PR – Counseling & Treatment	Retire	Yes	Need to confirm this functionality is provided by Solution before this system can be retired
9	Legal Services	Disciplinary Appeals	Captures and maintains any disciplinary appeal information including the signatures of the director or appeal officers. The system also provides the users the ability to run ad hoc reports to provide information to the director. The application is running on Web form.	GA	Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
10	Inmate Trust Accounts	Ibank2002	Records inmate's personal bank account transactions.	PR – Inmate Trust Account	Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
11	Agency Wide Prison Complexes	On-Line Inmate Visitation	Online web submittal of Application to Visit an Inmate (Form 911-4) from the inmate's family to visit the inmates at the institution.	VI	Retire/Interface	No	Need to confirm this functionality is provided by Solution before this system can be retired

12	Agency Wide Prison Complexes	On-line Visitation Back End Application	Retrieval of visitor application information submitted in the online application.	VI	Retire/ Interface	Yes	Need to confirm this functionality is provided by Solution before this system can be retired
13	Legal Services	Grievances	Captures and maintains inmate grievance and appeal information including the signatures of the director or appeal officers. The system also provides the users the ability to run ad hoc reports to provide information to the director. The application is running on Web form.	GA	Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
14	Offender Services & Community Corrections	Release Management System (RMS)	Phase I tracks whether all inmates' discharge requirements are met prior to release from Offender Operations. Pre-Release Phase II automates the inmate's pre-release packet and work flow for release packet approval process.	PM, CC	Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
15	Community Corrections	Offender Management System (OMS)	Tracks offender's activities during their community correction supervision including Case Plan, Face Sheet and Chronological Notes. It also tracks offender terminations/Release from Community Corrections.	CC	Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired

16	Community Corrections	Warrant	Issues and tracks of warrants for absconders.	HW	Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
17	FAU	Fugitive Apprehension Unit (FAU)	Automates detailed apprehension list to retrieve absconders.		Retire/Interface	No	Need to confirm this functionality is provided by Solution before this system can be retired
18	Inspector General / Offender Operations	Administration Investigative Unit (AIU) System	Administrative Investigations Unit web site	GM	Interface	No	
19	Offender Services	Bed Days	Tracks inmate admissions to hospitals.	PM	Retire	Yes	Need to confirm this functionality is provided by Solution before this system can be retired
20	Constituent Services	Inmate Family and Friends (IFFL)	Tracks phone calls, emails, visitation evaluation card information, and complaints received from family and friends.		Retire/Interface	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
21	Director's Office	Director's Tracking Log System	Directors Daily Log		Interface	No	
22	Planning Budget and Research	Information Reports			Interface	No	

23	Health Services	Inmate Health System (IHS)	A web application that allows users to monitor and update current Inmate health conditions.		Interface	No	
24	Legal Services	Legal Services System (LSS)	Creates and updates records for habeas corpus claims and lawsuits. Provide ad hoc reporting capabilities.		Interface	No	
25	Legal Services	Litigation Tracking System (LITS)	Captures records for claims and lawsuits.		Interface	No	
26	Offender Services	Offender Services Bureau (OSB)	Tracks correspondence material from inmates to the Director.		Retire/ Interface	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
27	Offender Services	Operations Intelligence Tracking System			Interface	No	
28	Health Services	Outside Requested Consultation (ORC)	Outside Requested Consultation: Records Health Consultations of the inmate.		Interface	No	
29	Offender Services	Prior Packets	Provides County Attorneys, District Attorneys and other law enforcement agencies with the inmate prior record.		Retire	No	Need to confirm this functionality is provided by Solution before this system can be retired
30	Director's Office	Public Access Tracking System (PATS)	Provides public access to inmate information.		Interface	No	

31	Offender Services	Record Inventory	Inmate Records Inventory Database		Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired
32	Director's Office	Significant Incident Report (SIR)	Tracks significant incidents between inmates and staff, and creates reports for the Director.		Interface	No	
33	Victim Services	Victim Services Tracking System (VISTA)	Tracks information for the Victim Services Department.		Interface	No	
34	Agency Wide Prison Complexes	ICE			Retire	Yes	Need to confirm this functionality and reporting is provided by Solution before this system can be retired

Exhibit E - Key Personnel/Preferred Qualifications

Key Personnel and Required Experience

POSITION	RECOMMENDED QUALIFICATIONS
Project Manager	<p>The Project Manager assigned to the engagement by the successful Offeror shall have full authority to administer the contract on behalf of the Offeror, including all implementation activities and ongoing day-to-day operations. The account/project manager must have the following experience within the last ten (10) years within the government or private sector:</p> <p>A minimum of three (3) years of large-scale project management experience; a minimum of two (2) years experience in the state or federal corrections sector is desired.</p> <p>A minimum of three (3) years of experience managing large, enterprise system integration and implementation projects of similar size and complexity; a minimum one (1) year experience in corrections solutions is desired.</p> <p>A minimum of two (2) years of experience with systems analysis and design.</p> <p>A minimum of two (2) years of experience with large scale enterprise software systems integration and implementation in a Service Oriented Architecture (SOA) environment.</p> <p>Excellent communication, presentation and interpersonal skills.</p> <p>The following qualifications are not required for the Project Manager, but are desired</p> <p>Project Management Professional (PMP) certification.</p> <p>A minimum of two (2) years of experience using Microsoft Project or similar software.</p>
Operations Manager	<p>The Operations Manager assigned to the engagement by the successful Offeror must have the following experience within the last 10 years within the government or private sector:</p> <p>A minimum of two (2) years experience in operations of a hosted solution for either government or private clients.</p> <p>Strong management and communication skills</p> <p>The following qualifications are not required for the Operations Manager, but are preferred:</p> <p>Familiarity with states' corrections business processes and systems.</p> <p>Experience with software similar to that required by this RFP.</p> <p>Experience with design, development, and implementation of corrections systems.</p>
Systems Architect/Technical Lead	<p>The Systems Architect /Technical Lead assigned to the engagement by the successful Offeror must have the following experience within the last 10 years within the government or private sector:</p> <p>A minimum of three (3) years of experience in systems integration; a minimum of two (2) years experience with state or federal corrections</p>

POSITION	RECOMMENDED QUALIFICATIONS
	<p>sector is desired.</p> <p>A minimum of three (3) years of experience with SOA infrastructure and SOA technical governance.</p> <p>A minimum of two (2) years of experience implementing Web-based Commercial Off-the-Shelf (COTS) systems.</p> <p>A minimum of two (2) years of experience in implementing the proposed product.</p> <p>A minimum of two (2) years of experience with the integration of multiple platforms, such as the integration of COTS, Web-based and legacy applications.</p> <p>A minimum of three (3) years of experience with interface design and development of a similar sized project. A minimum of two (2) years of experience serving as the technical lead over enterprise software systems architecture and enterprise systems development projects. Demonstrated knowledge of the business architecture, information architecture, and technical architecture standards.</p> <p>Experience with design, development, and implementation of corrections systems is preferred, but not required.</p> <p>Strong management and communication skills.</p>
Configuration Manager	<p>The Configuration Manager assigned to the engagement by the successful Offeror must have the following experience within the last 10 years within the government or private sector:</p> <p>A minimum one (1) year experience involving a Web-based system for use by both internal and external users.</p> <p>A minimum of three (3) years experience in configuration and deployment of a government or private software application with functionality similar to that required by this RFP.</p> <p>A minimum one (1) year experience involving a Web-based system for use by both internal and external users.</p> <p>A minimum of one (1) year experience with the proposed product.</p>
Data Manager	<p>The Data Manager assigned to the engagement by the successful Offeror must have the following experience within the last 10 years within the government or private sector:</p> <p>A minimum of three (3) years of experience in data management, of which two (2) years of experience has been in the government or a comparable environment.</p> <p>A minimum of two (2) years of experience with data management during the integration of multiple platforms, such as the integration of COTS, Web-based and legacy applications.</p> <p>A minimum of two (2) years of experience serving as data manager for systems involving large data migrations on systems development projects of a similar scope to this engagement.</p> <p>Demonstrated familiarity with of the business architecture, information architecture, and technical architecture standards.</p> <p>The following qualifications are not required for the Data Manager, but are desired:</p>

POSITION	RECOMMENDED QUALIFICATIONS
	<p>Experience in managing all issues involving data integrity, quality, timeliness, efficacy and reliability for integrations and data exchanges with state agencies, contractors, and other stakeholders.</p>
<p>Training Manager</p>	<p>The Training Manager assigned to the engagement by the successful Offeror must have the following experience within the last 10 years within the government or private sector:</p> <p>A minimum of two (2) years of experience in training for systems solutions, including developing course content and delivering training to users and trainers.</p> <p>A minimum of one (1) year experience in training on a project involving deployment of a web-based system to internal and external users.</p> <p>Experience training in an corrections-centered environment is desired.</p>
<p>Test Manager</p>	<p>The Test Manager assigned to the engagement by the successful Offeror must have the following experience within the last 10 years within the government or private sector</p> <p>A minimum of three (3) years of experience in testing systems solutions, including all unit, system, and user acceptance testing, developing test plans, test cases and automated test scripting.</p> <p>A minimum of two (2) years of experience managing a testing team for a similar size project.</p> <p>A minimum of one (1) year of experience with the testing of multiple platforms, such as the integration of COTS, Web-based and legacy applications.</p>
<p>Corrections Subject Matter Expert (SME)</p>	<p>The Corrections SME must have the following experience within the last 10 years:</p> <p>A minimum of three (3) years of experience with state corrections programs</p> <p>Experience with sentence calculations, assessment tools, classification systems, and other state-specific corrections-related processes</p> <p>Strong management and communication skills.</p> <p>The Contractor may bid another key person meeting these requirements to meet both key positions.</p>

Exhibit F - Acronyms

This exhibit lists acronyms commonly used in this document and their definitions.

Acronym	Definition
AATF	Alcohol Abuse Treatment Fund
ACCH	Arizona Criminal History database
ACI	Arizona Correctional Industries
ADA	Americans with Disabilities Act
ADC	Arizona Department of Corrections
AFIS	Arizona Automated Fingerprint Information System
AIMS	Adult Inmate Management System
AIU	Administration Investigative Unit
ARN	Arrest Record Number
ARS	Arizona Revised Statute
ASPC	Arizona State Prison Complex
ATS	Addiction Treatment Services
CCO	Community Corrections Officers
CO	Corrections Officer
COTS	Commercial-off-the-Shelf
CSS	Community Services System
CTE	Career and Technical Education
CTS	Counseling and Treatment Services
DDA	Dedicated Discharge
DNA	Deoxyribonucleic acid
DNHW	Do Not House With

DPS	Department of Public Safety
DR	Disciplinary Report
DUI	Driving Under the Influence
EIP	Earned Incentive Program
EMR	Electronic Medical Record
EMU	Electronic Monitoring Unit
FAU	Fugitive Apprehension Unit
GAAP	Generally Accepted Accounting Principles
GED	General Equivalency Diploma
GRITS	Gang Related Inmate Tracking System
HWD	Holds, Warrants and Detainers
IFFL	Inmate Family and Friends
HIS	Inmate Health System
IIS	Inmate Information System
IMT	Inmate Movement
ISCU	Interstate Compact Services Unit
ITA	Inmate Trust Account
IVS	Inmate Visitation System
KPI	Key Performance Indicator
LITS	Litigation Tracking System
LSS	Legal Services System
MSD	MIS Software Development
OMS	Offender Management System
OPPIS	Optical Print and Photo Image Subsystem
ORS	Outside Requested Consultation

OSB	Offender Services Bureau
OTS	Offender Tracking System
PATS	Public Access Tracking System
PC	Personal Computer
PRR	Priority Ranking Report
RBHA	Regional Behavioral Health Authority
RFP	Request for Proposal
RMS	Release Management System
SIR	Significant Incident Report
SLA	Service Level Agreement
SMI	Serious Mentally Ill
SOCU	Sex Offender Coordination Unit
SOETP	Sex Offender Education and Treatment Program
SPED	Special Education
SSU	Special Security Unit
STG	Security Threat Group
TABE	Test of Adult Basic Education
URN	Unit Record Number
VISTA	Victim Services Tracking System
WHSU	Warrant Services/Hearing Unit

Exhibit G - Service Level Agreements

SERVICE/ METRIC	AGREEMENT LEVELS	% WITHHOLD
System Response	<p>The following response times are supported as measured within any hour:</p> <ul style="list-style-type: none"> ▪ 98 % of all transactions <= 3 seconds. ▪ 90% of all transactions within <= 2 seconds ▪ 80% of all transactions within <= 1 second ▪ 99.5 % of Screen Edit responses <= 2 seconds. ▪ 99.5 % of New Pages load <= 2 seconds. ▪ 99 % of Print commands respond <= 3 seconds. ▪ 99.5 % of requests processed from standard web pages without data base access are returned within 1 second. . ▪ 99 % of requests processed from standard web pages with simple database access are returned within 2 seconds. ▪ 99 % of request processed from complex or processing intensive web pages are returned within a time agreed upon by ADC and the Contractor 	2%
User Response Time	All response times are affected whenever a request by the user invokes a remote interface with other systems. Real-time interfaces must provide data to the Solution within 5 seconds.	2%
System Availability and Reliability	<p>24/7/365 99.95% up time; measured weekly. with no more than 2 hours down time within any business day (6 a.m. to 6 p.m. Arizona time, 7 days a week)</p> <p>24/7/365 user availability – 99.9599% up time (scheduled maintenance times not factored in).</p> <p>No more than ten (10) consecutive outages in any week.</p> <p>95.0 % of all failover events are concluded in less than 60 minutes.</p> <p>99.9 % of failover events must be concluded in less than 90 minutes.</p> <p>95.0% availability of the reporting system (24 hours, 7 days a week except for maintenance and upgrades as agreed upon by parties).</p> <p>95.0% availability of the test regions during scheduled times.</p> <p>99.9 % availability of the system to complete interfaces.</p>	3%
System Accuracy	<p>100 % of data must be delivered accurately.</p> <p>100 % of actions must be completed accurately.</p> <p>100 % of actions must be completed accurately.</p>	2%

SERVICE/ METRIC	AGREEMENT LEVELS	% WITHHOLD
	<p>100 % of sentence calculations must be completed accurately.</p> <p>100 % of on-line update transactions are accurate.</p> <p>100 % of cases and related data must be converted accurately.</p> <p>100 % of case records must be compiled, returned, and displayed accurately.</p>	
Maintenance / Updates/ Upgrades	<p>Maintenance to be performed outside business availability requirements</p> <p>Updates/upgrades should be implemented to improve/provide needed functionality as dictated by business/technical needs.</p>	1%
Data Integrity/ Destruction	<p>All data files shall be backed up on a regular schedule. Non-critical files, i.e., files without which users can still support the business, shall be recoverable to the end of the prior business day at a minimum. Critical files shall be journalized to allow restoration up to the last committed transaction.</p> <p>All system maintained files shall be backed up where required to permit recovery to the end of the prior business day. These files shall include, but are not limited to, user definition files, operating system files, and software setup files.</p> <p>The backup and recovery procedures shall include all data stored within the enterprise environment including, but not limited to, print and report files generated by the application. Data stored on user workstations is not the responsibility of the Contractor.</p> <p>The procedures shall be updated to be current for each recovery test.</p> <p>The recovery procedures shall include how the data files shall be synchronized to a point in time relating to journalized files and non-journalized files.</p> <p>In cases where files are not backed up, e.g., operating system files or application executables, the recovery procedures shall define how these files are reinstated to the system.</p> <p>Data storage will meet State, federal, and industry standards.</p> <p>Data destruction will meet State, federal, and industry standards.</p>	1%
Security	<p>Internal and external security to meet State, federal and industry standards and regulations.</p> <ul style="list-style-type: none"> ▪ Password security ▪ Data encryption 	2%

SERVICE/ METRIC	AGREEMENT LEVELS	% WITHHOLD
	<ul style="list-style-type: none"> ▪ Firewall ▪ Identity management ▪ Anti-virus/spyware ▪ Web content monitoring/filtering ▪ Weekly/monthly/quarterly/annual security reports and updates review. ▪ 100% of all security breaches must be reported to ADC in writing and by telephone immediately at the time of the incident. ▪ 100% of all security breaches must be mitigated within the timeframes approved by ADC. 	
Incident Response Time/ Target	Critical – 120 clock minutes / 99.5 % High – 24 clock hour(s) / 99.5 % Medium – 48 business hour(s) / 99.5 % Low – As agreed with ADC	2%
Incident Resolution Time/ Target	Critical – 5 clock hour(s) / 99.5 % High – 24 clock hour(s) / 99.5 % Medium – 72 clock hour(s) / 99 % Low – As agreed with ADC	1%
User Support	Monday– Sunday 6am – 6pm – Technical (except holidays) Monday – Sunday 6am – 6pm – Help Desk (except holidays) On call after hours support as negotiated with ADC	1%
Reporting	100% of data required for reporting purposes shall be available when required. 100. % of required reports (Contractor-produced) shall be delivered to ADC by the date and time specified. 100 % of user-generated reports must be produced on the schedule indicated in the request. 100 % of all reports are stored according to specifications. 100 % of all reports are retrievable within five (5) minutes. 100 % of required reports shall be produced accurately.	1%
SLA Reporting	Monthly status reports that provide previous month's SLA performance data, as well as previous 3/6/9 month intervals Quarterly meetings with ADC to evaluate and review SLA performance	1%
Contractor	100% of key personnel must be available to the project as proposed unless a replacement or reduced	1%

SERVICE/ METRIC	AGREEMENT LEVELS	% WITHHOLD
Staffing	availability is approved by the Department. 100% of key personnel must adhere to established security and confidentiality policies, procedures and guidelines	
Other	As proposed by the Offeror	As proposed

Attachment A - **Offer and Acceptance Form**



Offer and Acceptance

Arizona Department
of Corrections
1645 W. Jefferson
Phoenix, Arizona 85007

SOLICITATION NO.: ADOC14-00003350
14-025-23DC

Adult Inmate Management System (AIMS)

TO THE STATE OF ARIZONA:

The Undersigned hereby offers and agrees to furnish the material, service or construction in compliance with all terms, conditions, specifications and amendments in the Solicitation and any written exceptions in the offer. Signature also certifies Small Business status.
Arizona Transaction (Sales) Privilege Tax License No.:

Federal Employer Identification No.:

Phone:

Fax:

Company Name

Signature of Person Authorized to Sign Offer

Address

Printed Name

City State Zip

Title

By signature in the Offer section above, the Offeror certifies:

1. The submission of the Offer did not involve collusion or other anticompetitive practices.
2. The Offeror shall not discriminate against any employee or applicant for employment in violation of Federal Executive Order 11246, State Executive Order 2009-9 or A.R.S. §§ 41-1461 through 1465.
3. The Offeror has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to provide a valid signature affirming the stipulations required by this clause shall result in rejection of the offer. Signing the offer with a false statement shall void the offer, any resulting contract and may be subject to legal remedies provided by law.
4. The Offeror certifies that the above referenced organization IS/ IS NOT a small business with less than 100 employees or has gross revenues of \$4 million or less.

ACCEPTANCE OF OFFER

The Offer is hereby accepted.

The Contractor is now bound to sell the materials or services listed by the attached contract and based upon the solicitation, including all terms, conditions, specifications, amendments, etc., and the Contractor's Offer as accepted by the State.

This Contract shall henceforth be referred to as Contract No. ADOC14-00003350 / 14-025-23 DC

The effective date of the Contract is _____

The Contractor is cautioned not to commence any billable work or to provide any material or service under this contract until Contractor receives purchase order, contract release document or written notice to proceed.

State of Arizona
Awarded this _____ day of _____ 20_____

Leon George, Chief Procurement Officer

Attachment B - **Required Contractor Response Forms**

This attachment includes the required Contractor response forms to be completed by the Offeror and included in the proposal. This attachment will be formatted as a separate Microsoft Office documents.

Attachment C - Functional, Technical, and Interface Requirements

This attachment includes detailed functional, technical, and interface requirements response forms to be completed by the Offeror and included in the proposal. The form includes Offeror response codes, which are described as follows:

Offeror Response Codes

E	Existing
EC	Existing Configuration
MM	Minor Modification
TP	Third Party Product
CD	Custom Development
NS	Not Satisfied

Instructions for completion of this form are provided in Section V.

Global

Global includes the general functional, system administration, workflow and business rule management requirements. The requirements in this category address general functionality that is not limited to specific ADC units or business processes.

Req #	M/D	Description	Response Code	Reference
GL-1	M	The proposed solution shall be in compliance with all applicable sections of Arizona Revised Statutes (ARS) Titles 13- Civil Code, 28 –Transportation, Chapter 4-Driving Under the Influence, 31 – Prisons and Prisoners, Chapter 2 State Prison and Chapter 3 – Executive Clemency and 41-State Government, Chapter 1.1-State Department of Corrections.		
GL-2	M	The proposed solution shall maintain a master record file that is in compliance with ARS Title 31, Article 2 – Prisons, 31-221.		

Req #	M/D	Description	Response Code	Reference
GL-3	M	The proposed solution shall be web based and The proposed solution shall conform to ARS (Arizona Revised Statutes) security standards and protocols.		
GL-4	M	The proposed solution shall store offender data in a central location.		
GL-5	M	The proposed solution shall retrieve offender data in a time efficient manner from a variety of physical locations.		
GL-6	M	The proposed solution shall allow multiple individuals to view offender information at the same time.		
GL-7	M	The proposed solution shall prevent multiple users from updating the same record at the same time.		
GL-8	D	The proposed solution shall track requests for information including which documents were released (e.g. requests from AG, attorneys, prosecutors, law enforcement, offender or family member, etc.)		
GL-9	M	The proposed solution shall allow a user to open multiple screens/windows simultaneously.		
GL-10	M	The proposed solution shall allow a user to cancel transaction and/or exit any document or screen without saving changes.		
GL-11	M	The proposed solution shall prevent duplicate document numbers or reference numbers based on user-specified criteria.		
GL-12	M	The proposed solution shall print offender record information.		
GL-13	M	The proposed solution shall generate system messages, including level of urgency (processing, error handling, and/or other communication) that are clearly stated in English.		
GL-14	M	The proposed solution shall provide the ability to update ADC's organization and individual user names (division, branch).		

Req #	M/D	Description	Response Code	Reference
GL-15	D	The proposed solution may allow minor changes (e.g. font, color) to the layout of user screens.		
GL-16	M	The proposed solution shall provide on-line help with instructions for how to complete data fields that are incorrect or incomplete on an offender record.		
GL-17	M	The proposed solution may provide an on-line tutorial as defined in Section III, a user guide, and help function to assist ADC staff in learning how to perform job tasks, manage work flows, and use the functions and capabilities of the system.		
GL-18	M	The proposed solution shall include complete user documentation detailing the capabilities and functions of the proposed solution, in the form of an on-line user guide. This shall describe how all end-user functions of the system are used, including functions reserved for supervisors and managers. Separate versions shall be provided for different categories of use.		
GL-19	M	The proposed solution may provide on-line tutorial / user guide / help screens to the user based on what he or she is attempting to accomplish (as determined by the current screen, function, data field).		
GL-20	M	The proposed solution shall provide the capability for authorized ADC personnel to select and modify multiple offender records (e.g. 50+ if necessary) and make the same change to all of them (e.g., move them to a different work queue, add standard notes, multiple movements, program re-assignments).		
GL-21	D	The proposed solution may provide ready access to common productivity tools and job aids including: <ul style="list-style-type: none"> • Calendar • Quick reference telephone number list • Arizona Revised Statutes (ARS), Title 13 – Criminal Code, Chapter 7 – Sentencing and Imprisonment. 		
GL-22	M	The proposed solution shall edit and validate individual field values to ensure that only valid data is entered. Validation options include, but are not limited to the following:		

Req #	M/D	Description	Response Code	Reference
		<ul style="list-style-type: none"> • Field type (e.g., numeric, alpha, required) • Validity (e.g., table look-up, data look-up) • Relational edits (e.g. editing relationships between fields) • Field values (e.g. acceptable range) 		
GL-23	M	The proposed solution shall maintain historical information in addition to the most current set of information for specified records.		
GL-24	M	<p>The proposed solution shall maintain a record (e.g. audit trail) of all changes made to data in the system. This should be readily searchable by user ID or offender. This shall include but is not limited to:</p> <ul style="list-style-type: none"> • The user ID of the person who made the change • The date and time of the change • The information that was changed • The data before and after it was changed, and which screens were accessed and used. 		
GL-25	M	The proposed solution shall allow specified individuals limited manual override capability of certain specified system calculated data and the reason for the override, including but not limited to: Discipline, Classification, Scheduling, and Programs.		
GL-26	M	The proposed solution shall contain templates and automate the completion of required forms (e.g., committee decisions).		
GL-27	M	The proposed solution shall provide the ability to add new forms and change existing forms		
GL-28	M	The proposed solution shall automatically generate forms, letters, memos, receipts etc. based on processing rules and timeframes criteria provided by ADC.		
GL-29	M	The proposed solution shall provide the ability to link related records of different types within the system (e.g., disciplinary actions to associated incident reports and/or classification actions, appeals to associated disciplinary actions).		

Req #	M/D	Description	Response Code	Reference
GL-30	M	The proposed solution shall provide the ability to merge, unmerge, and purge offender records.		
GL-31	M	The proposed solution shall provide the ability to verify valid zip code and address.		
GL-32	M	The proposed solution shall provide the ability to add and maintain notes and comments made for offender/inmate records.		
GL-33	M	The proposed solution shall incorporate the use of spell check for free text fields.		
GL-34	M	The proposed solution shall be highly configurable so that established processes and data elements can be altered as new demands for tracking data are made on ADC.		
GL-35	M	The proposed solution shall be capable of using the state of Arizona relay for all email notifications.		
GL-36	M	The proposed solution shall record incidents of unusual occurrences and/or events that affect the institution population (e.g., riots, fights, use of force, floods, loss of electricity, discharge of weapons).		
GL-37	M	<p>The proposed solution shall create and maintain offender information, including but not limited to:</p> <ul style="list-style-type: none"> • Demographic Information (e.g. name, physical appearance [including but not limited to height, weight, hair color, eye color, etc.], date and place of birth, next of kin, photos, fingerprints, scars, marks and tattoos [SMT]) • Status (e.g. inmate, ward, parolee, parole violator, diagnostic, discharged, deceased) • ADA needs / reasonable accommodations / effective communication (e.g. staff assistance, interpreter, assisted listening device), vision (glasses or large print), learning disability, wheelchair, mobility devices) mandated in all due process proceedings • Location (e.g. institution, parole unit, CCF, camp) • Housing Information (e.g. custody level, unit, cell, bed, living unit, vacancies, 		

Req #	M/D	Description	Response Code	Reference
		<ul style="list-style-type: none"> • special needs) • Sentence Calculation Information (e.g. offenses, cases, counts, statutes of convictions, durations, enhancements, sentence type (determinate / indeterminate), credit earning eligibility, sentences, revocation information) • Classification Information (e.g. security level, housing, program assignment, work group, privilege group) • Security / Risk Information (e.g. gang affiliations/status, enemies, socio-economic data, ethnicity, family characteristics, detention history, history of violence) • Special Registration / Notice Information (e.g. sexually violent predators, MDOs, victim notification) • Programs (e.g. program characteristics and availability, offender needs, program participation, progress) • Property (e.g. inventory of offender property) • Visiting (e.g. approved visitor lists, family visits, visitation history, visitation restriction,) • Holds / Warrants / Detainers (e.g. outside agency HWDs, internal ADC holds and warrants, escape warrants) • Discipline (e.g., disciplinary reports, disciplinary trends) • Appeals (e.g. appeals levels, outcome, history, trends) • Parole Information (e.g. supervision level, current/past residences, employment, program progress, violations) • Parole / Board Hearings (e.g. hearing results, revocation, revocation extension, hearing schedules) • Other Miscellaneous Offender Information (e.g. family members, release of information, co-litigants, foreign born offenders, Departmental Review Board control cases) 		
GL-38	M	<p>The proposed solution shall provide the ability to store and retrieve electronic files with electronic signatures (both inmate and staff signatures).</p>		

Req #	M/D	Description	Response Code	Reference
GL-39	M	The proposed solution shall provide the ability to produce Escape Flyers that include known addresses, parole addresses, emergency contact information, current photo, tattoos, etc.		
GL-40	M	The proposed solution shall have the ability to record Significant Incidents and their associated documentation for each facility.		
GL-41	M	The proposed Solution shall allow users to copy text data and save as Microsoft Word files on their personal computers, laptops, or other devices.		

System Administration (User Login, Roles and Profiles

These requirements concern the process by which the proposed solution will be administered in terms of adding, managing and deleting users and maintaining user roles.

Req #	Cat. M/D	Description	Response Code	Reference
GL-41	M	The proposed solution shall provide the ability to perform system administration functions such as reference table maintenance and adding / removing users from the system.		
GL-42	M	The proposed solution shall provide authorized ADC individuals with access to data and functions in the proposed solution by ADC and other authorized user's role and profile.		
GL-43	M	The proposed solution shall have self-service login password reset capabilities.		
GL-44	M	The proposed solution shall provide screens customized by job function or task. These screens shall present the information, layout, options, and tools applicable to the particular job function or task, and should be the same for all users performing that function or task.		
GL-45	M	The proposed solution shall accommodate the need for management to assign individual users to a single or multiple roles and perform multiple tasks. They need to be able to access the screens that best match the role they are filling or task they are performing at any given time.		

Workflow Management

These requirements concern the process by which the proposed solution will identify offender cases and organize this information to facilitate working the case.

Req #	Cat. M/D	Description	Response Code	Reference
GL-46	M	The proposed solution shall provide configurable workflow functionality for all ADC business processes including but not limited to: Intake, Discipline, Classification, Sentence Calculation, Appeal and Grievances, Program, Offender Releases, and Parole processes.		
GL-47	M	The proposed solution shall provide the ability to establish and maintain multiple workflows for each business process. (e.g. Classification needs workflows for Escape History, Arrest History, DUI Review, etc.)		
GL-48	M	The proposed solution shall support establishment of user defined rules based workflows for any system event or transaction.		
GL-49	M	The proposed solution shall allow for copying/extending preconfigured workflows to meet specific State business requirements.		
GL-50	M	The proposed solution shall provide tools for modifying preconfigured work flows or developing new work flows.		
GL-51	M	The proposed solution shall allow a document to follow one of multiple approval paths based on business rules.		
GL-52	M	The proposed solution shall support multiple levels of approvals for transactions based on profile security and other user-defined criteria.		
GL-53	M	The proposed solution shall allow users to attach notes to content items within the workflow and stores these notes with User ID and date/time stamp.		
GL-54	M	The proposed solution shall allow workflows to be designated as either 'informational' or 'action (such as approval) required'.		

Req #	Cat. M/D	Description	Response Code	Reference
GL-55	M	The proposed solution shall ensure a transaction is not finalized until all required approval workflows are complete.		
GL-56	M	The proposed solution shall provide the ability to establish and maintain multiple workflows for each business process. (e.g. Classification needs workflows for Escape History, Arrest History, DUI Review, etc.)		
GL-57	M	The proposed solution shall provide various intake workflows denoting the real-time intake process steps and whether each step has been completed (Intake workflows include standard intake, death row, lifers, juveniles, and violators).		
GL-58	M	The proposed solution shall create workflow items based on Classification trigger types, trigger reasons and date the trigger was created based upon criteria provided by ADC.		
GL-59	M	The proposed solution shall allow an offender record to be assigned to staff in different business units concurrently, such as intake processing, sentence calculation, and classification at the reception center.		
GL-60	M	The proposed solution shall assign a unique lifetime identification number to each offender.		
GL-61	M	The proposed solution shall provide the ability for ADC staff to assign a unique court / revocation term number for each court term / revocation term and link the information to the unique offender number.		
GL-62	M	The proposed solution shall identify potential duplicate records based on business rules, including but not limited to offender record, court / revocation term record, disciplinary records, appeals records.		
GL-63	M	The proposed solution shall allow for assignment of offender records to a specific unit and/or staff member (caseload assignment) throughout the process based on but not limited to: <ul style="list-style-type: none"> • Priority (system-wide or unit specific) • Staff skill set • Staff classification 		
GL-64	M	The proposed solution shall assign an offender to various staff (e.g. correctional officer, classification staff, parole agent, etc.), and caseload assignment functionality		

Req #	Cat. M/D	Description	Response Code	Reference
GL -65	M	The proposed solution shall provide the ability for managers to view, monitor and re-assign work to other staff (group/unit or individual). Ability to view the process actions (i.e. classification actions etc.).		
GL -66	M	The proposed solution shall notify staff automatically when a new item / document / offender record to review has been received based on business rules.		
GL -67	M	The proposed solution shall refresh workflow queues automatically.		
GL -68	M	The proposed solution shall issue non-disruptive alerts and escalation notifications for impending deadlines of all active offender records.		
GL -69	M	The proposed solution shall be able to immediately forward an offender's record to the next business function when the current business function is completed and send notification to the receiving business unit.		
GL -70	M	The proposed solution shall provide the ability to review and approve portions of the offender record (e.g. discipline, appeals) before the offender is released to the next business function.		
GL -71	M	The proposed solution shall provide notifications to users through an interface with Microsoft Outlook.		
GL -72	M	The proposed solution shall provide the ability to route scanned documents for processing and/or review.		

Business Rules Management

These requirements concern the maintenance of the business rules functionality.

Req #	Cat. M/D	Description	Response Code	Reference
GL-73	M	The proposed solution shall include Business Rules Management functionality.		
GL-74	M	The proposed solution's business rules management shall allow authorized ADC business personnel without programming or database management knowledge, to enter, update, review and apply the business rules used by the system and keep track of changes to all the business rules.		
GL-75	M	The business rules management shall support the rules needed to comply with all applicable laws and ADC policies and operational procedures, and provide the flexibility to adapt to changes in any of these areas.		
GL-76		The business rules management shall allow for changes to mandated timeframes, based on a state of emergency in the institutions or the offender no longer being in ADC jurisdiction.		

Intake

Inmate Processing

The requirements in this category address receiving offenders; creating or updating offender records; assessing specific offender needs and requirements, and endorsing the offender to move from the Reception Center to a permanent housing institution or facility.

Req #	Cat. M/D	Description	Response Code	Reference
IN-1	M	The proposed solution shall provide the ability to search for existing and prior inmates and community supervision offenders and their records within the system. Search criteria shall include first name, last name, DOB, SID, SSN, and FBI Number.		

Req #	Cat. M/D	Description	Response Code	Reference
IN -2	M	The proposed solution shall provide the ability to add a new offender into the system with checks to ensure the offender being added is not a duplicate of an existing offender/inmate.		
IN -3	M	<p>The proposed solution shall maintain offender demographic information including, but not limited to the following areas:</p> <ul style="list-style-type: none"> • Date of Birth, • Gender, • Race, • ADC Race – specific process operational races • Ethnicity • Social Security Number, • Place of Birth, • Marital Status, • Physical Information (height, weight, scars/tattoos, hair color, eye color, etc.) • Education, • Veteran Status – including service location, discharge status, • Address, • Employment, • Photo • Disabilities • Citizenship • FBI Number • Other State SID • ICE Number 		
IN -4	M	The proposed solution shall capture and store all offenders by a unique Department of Public Safety (DPS) State Identification (SID) number.		
IN -5	M	The proposed solution shall provide a user the ability to import and/or attach information including Pre-Sentence Investigation (PSI) information (currently on paper), statement of charges/commitment information, and/or any other court documentation.		

Req #	Cat. M/D	Description	Response Code	Reference
IN -6	M	The proposed solution shall capture and store details for all charges associated with the offender.		
IN -7	M	The proposed solution shall provide the ability to enter and track scars, marks, and tattoos.		
IN -8	M	The proposed solution shall provide the ability to capture and track offenders, associated persons and relatives, and their last know addresses.		
IN -9	M	The proposed solution shall capture results of initial security assessment (which includes PREA (Prison Rape Elimination Act), Classification (ICE - Immigration and Custom Enforcement), and health care screening information).		
IN -10	M	The proposed solution shall record Education testing results (e.g., TABE score, Substance Abuse Screening, Criminal Thinking Screening, religious preference survey, ADA needs / reasonable accommodations / effective communication, etc.).		
IN -11	M	The proposed solution shall provide the ability to enter last known address.		
IN -12	M	The proposed solution shall generate an ID card for each offender, including but not limited to booking information, ADC Number, Height, and Weight.		
IN -13	M	The proposed solution shall recommend an offender's institution/housing units placement options based on the offender's prioritized educational, medical, mental health, and classification/security information entered during intake.		
IN -14	M	The proposed solution shall generate time stamps for all steps in the reception process, including but not limited to the group/staff that should have processed the intake processing step.		
IN -15	M	The proposed solution shall provide the ability to search and display an offender ADC number for all offenders who have not completed reception/intake processing.		
IN -16	M	The proposed solution shall provide the ability to search/track and flag offenders by total elapsed time that the offender has been at reception.		
IN -17	M	The proposed solution shall provide the ability to define different intake processing timeframes for Male and Female inmates.		

Inmate Identification

The requirements in this category address identifying offenders.

Req #	Cat. M/D	Description	Response Code	Reference
IN -18	M	The proposed solution shall provide real-time access to offender photos, scars, marks, and tattoos		
IN -19	M	The proposed solution shall provide the ability to search tattoos by body part, description, etc.		
IN -20	M	The proposed solution shall provide the ability to interface with identification systems including Digi-Web Scan, Optical Print and Photo Image Subsystem (OPPIS), Mug Photo Interface System, Live Scan, and DNA/Paternity DNA.		
IN -21	M	The proposed solution shall provide the ability to display an offender's photo either on all inquiry/update screens, or visibly from any screen.		
IN -22	M	The proposed solution shall provide an indicator for high notoriety offenders, limiting the view/update of some offender information both internally and externally to ADC.		
IN -23	M	The proposed solution shall provide the ability to store offender finger prints.		
IN -24	M	The proposed solution shall use standard barcoding technologies (code 39); throughout the solution, and specifically, in this case on new intake inmate badges		

Property

The requirements in this category address the receipt, identification, inventory, transfer, storage and disposal of offender property.

Req #	Cat. M/D	Description	Response Code	Reference
PO -1	M	The proposed solution shall record and maintain an inventory of offender's property (e.g. property, type, attributes, location, staff comments, chain of possession)		
PO -2	M	The proposed solution shall maintain information about approved property based on offender status		
PO -3	M	The proposed solution shall cross reference offender's property inventory to the approved property information and identify discrepancies		

Req #	Cat. M/D	Description	Response Code	Reference
PO -4	M	The proposed solution shall record replacement value of property for compensation in case of loss		
PO -5	M	The proposed solution shall identify offenders who are in the possession of non-consumable property items that have been removed from the approved property list.		
PO -6	M	The proposed solution shall record items returned to vendor or confiscated (items not added to offender property inventory)		
PO -7	M	The proposed solution shall record when and where property has been placed in temporary storage and reason (e.g. offender OTC, Out to Medical, Detention, Maximum Custody, escape)		
PO -8	M	The proposed solution shall provide the ability record what property is being transferred with an offender		
PO -9	M	The proposed solution shall provide the ability record disposition of offender property		
PO -10	M	The proposed solution shall provide the ability to retain copies of inventories in a digital format for reference		
PO -11	M	The proposed solution shall provide the ability to interface with tablet type devices to conduct inventories		
PO -12	M	The proposed solution shall provide the ability to attach pictures to the property inventory		
PO -13	M	The proposed solution shall provide the ability to interface with the Commissary vendor to enable new items (e.g., new TV) to be added to an inmate's property list		
PO -14	M	The proposed solution shall interface with the ADC's Inmate Commissary module provide the ability to verify an inmate's Commissary purchase request against their current property to ensure inmates are not exceeding their property allotment		
PO -15	M	The proposed solution shall provide the ability to store and retrieve a signed electronic copy of the offender's property orders		
PO -16	M	The proposal solution shall provide Contraband Documentation and Disposal		

Classification

The classification process is applied, commencing upon intake and continues throughout the time the individual remains

under the jurisdiction of ADC.

The requirements in this category address assessing and categorizing offenders, taking into consideration offender's needs, interests, behavior, rehabilitative goals, commitment information, escape risk, security issues, medical, ADA, and mental health, and assigning a classification placement score.

Req #	Cat. M/D	Description	Response Code	Reference
CL -1	M	The proposed solution shall provide a classification questionnaire to assist classification staff in completing an offender's initial classification.		
CL -2	M	The proposed solution shall record the results of the pre-classification interview including special needs of offender including but not limited to: <ul style="list-style-type: none"> • Medical • Mental Health • Educational/Academic • Substance Abuse • Work based education • ACI • DUI • Sex Offender 		
CL -3	M	The proposed solution shall provide an integrated custody and risk-scoring instrument; with the ability to create offender classification and correction plans based on objective criteria and link to the scheduler and program availability information per ADCs existing policies and business rules/processes.		
CL -4	M	The proposed solution shall provide a graphical depiction of inmate clusters with similar custody and classification characteristics by unit, institution, and/or statewide.		

Req #	Cat. M/D	Description	Response Code	Reference
CL -5	M	The proposed solution shall identify bed characteristics and classifications to support assignment of inmates to the correct institution based on the inmate's correction plan, education needs, and treatment plan.		
CL -6	M	<p>The proposed solution shall recommend classification designations based on the following:</p> <ul style="list-style-type: none"> • Custody Level • Internal Risk Level • Institutional Assignment • Program Needs Assessment • Medical needs score • Mental Health needs score • Educational/Academic needs score • Substance Abuses needs score • Work based educational needs score • ACI needs score • DUI needs score • Sex Offender education and treatment needs score. • Placement on program/work assignment prioritized waiting lists 		
CL -7	M	<p>The proposed solution shall determine Custody Level based on business rules which include but are not limited to:</p> <ul style="list-style-type: none"> • Most serious current offense • Most serious prior/other offense • Length of commitment • Security concerns 		

Req #	Cat. M/D	Description	Response Code	Reference
		<ul style="list-style-type: none"> • In custody behavior • Escape history • History of institutional violence • Gang affiliation status • Current age • Completion of major programs 		
CL -8	M	The proposed solution shall record the classification recommendations review result.		
CL -9	M	The proposed solution shall record the approvals of the classification recommendations		
CL -10	M	The proposed solution shall alert the classification staff when an inmate violation occurs that requires security reclassification. based on criteria provided by ADC.		
CL -11	M	The proposed solution shall alert the classification staff when any status change requires security review and potential reclassification based on criteria provided by ADC.		
CL -12	M	The proposed solution shall alert the classification staff when an inmate's assignment to a housing unit is inappropriate based on criteria provided by ADC.		
CL -13	M	The proposed solution shall be able to identify and alert the classification staff if the assigned security level does not match the security screening and classification results based on criteria provided by ADC.		

Req #	Cat. M/D	Description	Response Code	Reference
CL -14	M	<p>The proposed solution shall create and store classification trigger types based on criteria provided by ADC including but not limited to:</p> <ul style="list-style-type: none"> • C0301 – Custody/IR (COIII) • C0401 – Custody/IR Class Supervisor • C0701 – Custody/IR Warden • C0901 – Custody/IR Central Office • C0N01 – Custody/IR Notice 		
CL -15	M	<p>The proposed solution shall create and store classification trigger reasons based on criteria provided by ADC including but not limited to:</p> <ul style="list-style-type: none"> • C01 Custody and/or Internal Risk change • C02 Work Performance change • C03 Disciplinary Violation change • C04 STG status change • C05 Program change • C06 Escape History change • C07 Criminal History change • C11 Sentence Structure change • C12 Detainer change 		

Sentence Calculation

The requirements in this category address recording commitment information, accumulating work / good time credits and calculating release date(s), minimum eligible parole date(s) and discharge date(s) accurately so offenders are incarcerated for the exact amount of time as prescribed by law.

Req #	Cat. M/D	Description	Response Code	Reference
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Req #	Cat. M/D	Description	Response Code	Reference
SE -1	M	The proposed solution shall operate in accordance with Arizona Revised Statutes (ARS), Title 13 – Criminal Code, Chapter 7 – Sentencing and Imprisonment.		
SE -2	M	The proposed solution shall provide automated time computations per Arizona State sentencing rules including good time credits as well as Departmental Policy.		
SE -3	M	The proposed solution shall include multiple types of sentencing.		
SE -4	M	The proposed solution shall provide the ability to accurately calculate and recalculate release dates for every sentence structure based on: <ul style="list-style-type: none"> • Offense and Offense dates (including multiple offenses) • Sentence (including consecutive and concurrent sentences) • Jail credits • Disciplinary actions • Detainers • Administrative actions • Earned credits • Change in custody level • Failure of literacy test • Refusal of supervisory conditions 		
SE -5	M	The proposed solution shall provide the ability to make table-driven changes to sentence calculation rules when judicial, legislative, and ADC administrative changes occur.		
SE -6	M	The proposed solution shall provide automated credit for time served calculations.		
SE -7	M	The proposed solution shall capture and track data on sentencing such as parole eligibility class (PEC) that sets limits to earned credits (including one-for-one, etc.).		
SE -8	M	The proposed solution shall capture and record commitment type (based upon applicable statute) and commitment information including, but not limited to: <ul style="list-style-type: none"> • Commitment Types are adult-felon with determinate or indeterminate terms (juveniles are remanded as adults) 		

Req #	Cat. M/D	Description	Response Code	Reference
		<ul style="list-style-type: none"> Commitment information includes county and court of commitment, court case number, offense(s) and offense date(s), applicable time comp statutes, time imposed for offense(s) and enhancement(s), total period of confinement, presentence credit, and offense type. 		
SE -9	M	The proposed solution shall capture sentence relationship and sentencing composition for each commitment term, such as principal offense, concurrent/consecutive term (concurrent and/or consecutive, both within the same case and across cases), and total term.		
SE -10	M	The proposed solution shall determine and record time credit earning rate for each offense, enhancement, and/or revocation based on Arizona State statutes. Note: a term comprised of multiple offenses and/or enhancements may be eligible for different rates of credit based on applicable statute.		
SE -11	M	The proposed solution shall determine the controlling commitment terms, including minimum and maximum length of incarceration.		
SE -12	M	The proposed solution shall provide the ability to store the sentence calculation details to enable ADC staff to review the calculation and the resulting release credits and dates.		
SE -13	M	The proposed solution shall calculate and record release date(s) for each commitment.		
SE -14	M	The proposed solution shall calculate and record discharge date(s) for each commitment.		
SE -15	M	The proposed solution shall establish discharge review date(s) for each commitment.		
SE -16	M	The proposed solution shall calculate and record parole eligibility date(s) for indeterminate commitments.		
SE -17	M	The proposed solution shall validate sentence information from the court against statutory offense and sentencing rules and identify sentencing discrepancies (error checking).		
SE -18	M	The proposed solution shall capture and record credit information (e.g. credit earned, , forfeited (lost), restored, copper time).		
SE -19	M	The proposed solution shall record the date and reason for discharge for each commitment.		

Req #	Cat. M/D	Description	Response Code	Reference
SE -20	M	The proposed solution shall identify offenders nearing the controlling release/discharge date.		
SE -21	M	The proposed solution shall determine legal mandates based on commitment information, (e.g. sex offender registration based on offenses; DNA for all felony convictions.)		
SE -22	M	The proposed solution shall record pre-release notification requests including but not limited to: requestor, address, date of request, reason for request, etc.		
SE -23	M	The proposed solution shall identify incomplete legal mandates that require staff action, (e.g., missing DNA samples, palm prints, blood tests, registration forms to be served on offender, etc.).		
SE -24	M	The proposed solution shall have the ability to show the offender how the release date(s) was calculated.		
SE -25	M	The proposed solution shall provide standard and parameter driven reporting capabilities to meet ADC's Sentence Calculation business needs.		
SE -26	M	The proposed solution shall enable the ability to manually override the release date associated to the sentence.		
SE -27	M	The proposed solution shall 'lock' the sentence date if it has been manually entered.		

Sentence Calculation Audits

Req #	Cat. M/D	Description	Response Code	Reference
SE -28	M	The system shall provide the ability to Audit the sentence calculation (i.e. intake audit, initial release audit, final release audit) discipline required forfeitures, credit changes, sentence modifications.		

Population Management

Population Management is the overall management of inmates and consists of Movement, Count, Transportation and Do

Not House With

Movement and Count

The requirements in this category address the physical movement/location/status of an offender from the time of admission to the time of discharge.

Req #	Cat. M/D	Description	Response Code	Reference
PM - 1	M	The proposed solution shall establish and maintain bed/cell/living unit characteristics and information including but not limited to: type (restricted at bed level), security level (at Living Unit), location, ADA designation, program bed, description (upper/lower).		
PM - 2	M	The proposed solution shall record offender movement and status in accordance with DO 0701 – Inmate Accountability, Section 701.05 –Movement Control.		
PM - 3	M	The proposed solution shall create a tentative master count in accordance with ADC’s DO 0701 – Inmate Accountability, Section 701.04 – Inmate Counts.		
PM - 4	M	The proposed solution shall record results of physical count.		
PM - 5	M	The proposed solution shall validate tentative master count against physical count results.		
PM - 6	M	The proposed solution shall record authorization of completed count.		
PM - 7	M	The proposed solution shall provide the ability to pull up each institutions count into a statewide agency count.		
PM - 8	M	The proposed solution shall record information restricting offender movement.		
PM - 9	M	The proposed solution shall record information restricting bed movement.		
PM - 10	M	The proposed solution shall locate an available facility/bed that matches both the offender characteristics and the bed characteristics according to business rules including but not limited to pre-classification interview, specific medical, mental health, integrated housing, security issues, classification cell screening, and/or other processing rules.		
PM-11	M	The proposed solution shall hold beds for offenders according to business rules (including, out to court, out to hospital).		

Req #	Cat. M/D	Description	Response Code	Reference
PM-12	M	The proposed solution shall identify offenders located in beds that do not match the offender's characteristics based on business rules.		
PM-13	M	The proposed solution shall provide a color-coded legend that identifies housing bed status (at a minimum, green for open beds, and red for full).		
PM-14	M	The proposed solution shall provide the ability to record, monitor, and track Detention Orders.		
PM-15	M	The proposed solution must record the affirmation and/or denial of Detention Orders, including the reasons for the decision.		
PM-16	M	The proposed solution must maintain required Detention Orders mandated services, including but not limited to: food, clothes, shower, counseling, education, and the daily need to identify whether offenders still meet the criteria.		
PM-17	M	The proposed solution shall provide the ability to establish, monitor, and track Protective Custody in accordance with ADC's DO 0805 Protective Custody policy.		
PM-18	M	The proposed solution shall provide trend analyses for Protective custody.		
PM-19	M	The proposed solution must record the affirmation and/or denial of Protective Custody, including the reasons for the decision.		
PM-20	M	The proposed solution must record the affirmation and/or denial of Protective Custody.		

Transportation

The requirements in this category address successfully transporting an offender from one location to another either statewide, locally or interstate via bus, van or commercial transportation.

Req #	Cat. M/D	Description	Response Code	Reference
PM-21	M	The proposed solution shall identify pending transportation requests, including but not limited to: key identifiers for the offender to be moved, reason for move, type of transportation request (e.g. State Transportation Unit, Institution, Emergency, Parole		

Req #	Cat. M/D	Description	Response Code	Reference
		Violator return to ADC custody), priority, due date.		
PM -22	M	<p>The proposed solution shall build a daily transportation schedule based on business rules using information including but not limited to:</p> <ul style="list-style-type: none"> • Individual offender information such as priority, offender classification, special circumstances, mental health information, medical needs, gang affiliations, enemies, ethnicity, clearance (health care or disciplinary), etc. • Number of offenders approved for transfer to each destination. • Number of offenders scheduled to parole at each destination during a given period. • Number of offenders scheduled to be transferred into and out of each destination. <p>Vehicle information, including ADA compliant vehicles, mode of transportation to transport offender (bus, van, etc.), number of vehicles, type of vehicle, capacity, availability, etc.</p>		
PM -23	M	The proposed solution shall identify transportation conflicts and issues.		
PM -24	M	The proposed solution shall create/update a standby list of approved transportation requests.		

Do Not House With (DNHW)

The requirements in this category address to those Inmates that cannot be housed together due to conflict(s).

Req #	Cat. M/D	Description	Response Code	Reference
PM -25	M	The proposed solution shall record, approve, and track inmates' "Do Not House" requests/actions.		

Req #	Cat. M/D	Description	Response Code	Reference
PM -26	M	The proposed solution shall provide the ability to store/attach "Do Not House" related documentation.		
PM -27	M	The proposed solution shall record, change, and/or remove an inmate's "Do Not House" status.		
PM -28	M	The proposed solution shall provide the ability to identify and alert system users of inmates who should not be housed with other inmates.		

Gang Management / Security Threat Groups (STGs)

The requirements in this category address the identification, validation, monitoring and reporting of offender affiliation or participation with known prison gangs and/or disruptive groups. Also investigating instances within the institutions (e.g., assaults, homicides) and gathering evidence to prosecute the offenders and potential security threat activities.

Req #	Cat. M/D	Description	Response Code	Reference
GM -1	M	The proposed solution shall provide the ability to add and delete gang affiliation criteria to meet Gang Related Inmate Tracking System (GRITS) business needs.		
GM -2	M	The proposed solution shall provide a checklist for Security Threat Group (STG) Identification, Validation and Intelligence. At a minimum, the checklist shall include self-admission, tattoos, possession of documentation or gang symbols, group photo, contact with known associates, membership documentation, observed association, law enforcement intelligence, and other gang like behavior, court documents.		
GM -3	M	The proposed solution shall provide an automated scoring instrument for validating an inmate as a member of a gang.		
GM -4	M	The proposed solution shall have the ability to cross reference information related to STG members, to include, at a minimum, both suspected and ADC confirmed gang members, STG activities, STG violence by institution, violence by inmate and ADC#, visitors of suspected or validated STG members, criminal street gang (CSG) (could be a report), offender autobiography.		

Req #	Cat. M/D	Description	Response Code	Reference
GM-5	M	The proposed solution shall have the ability to record and track personal information for each inmate that is either a suspected or validated, debriefed and/or step down member of a gang/STG/CSG, to include, at a minimum, Name, Moniker, Sex, Race, Height, Weight, SSN, tattoos or distinguishing marks.		
GM-6	M	The proposed solution shall have the ability to establish linkages between and among individual gang members to include, at a minimum, address commonality, co-defendants, victim commonality, and known enemies.		
GM-7	M	The proposed solution shall record and maintain evidence of an offender's gang activity (e.g. tattoos, STG/CSG symbols, written material, photographs, associations, self-admission, debriefing information).		
GM-8	M	The proposed solution shall record the source of gang information as well as the level of confidence of the staff member receiving and entering the information.		
GM-9	M	The proposed solution shall assign potential validation points based on business rules including but not limited to items outlined in ADC's DO 0806, Security Threat Groups (STGs), Section 806.03, Individual Validation.		
GM-10	M	The proposed solution shall record supporting gang activity (such as documentation associated with gang activity).		
GM-11	M	The proposed solution shall record appropriate staff's approval or disapproval of each point of evidence within the packet (see GM-2).		
GM-12	M	The proposed solution shall record validation of an offender as an affiliate of a specific disruptive group or prison gang (e.g. associate, member, dropout, inactive,).		
GM-13	M	The proposed solution shall record the offender's request to be re-evaluated regarding gang member status (e.g. debrief, disassociate, step down, appeal).		
GM-14	M	The proposed solution shall record STG Committee evaluation results, including but not limited to: possible change in status recommendation.		
GM-15	M	The proposed solution shall record results of the debrief / disassociation, including the offender autobiography.		

Req #	Cat. M/D	Description	Response Code	Reference
GM-16	M	The proposed solution shall link/attach the offender autobiography to the inmate and restrict viewing to certain ADC staff.		
GM-17	M	The proposed solution shall provide access to visitor, Inmate Trust Accounting, and inmate information to conduct relational analytics ("link analysis") for STG activity and gang affiliation.		
GM-18	M	The proposed solution shall provide the ability to produce a subpoena request, that includes but not limited to name, charges, and institution.		
GM-19	M	The proposed solution shall have the ability to capture, store, and automatically alert staff via e-mail of key facility indicators that may forecast violence to include, at a minimum, unusual increase in commissary spending, unusual increase or decrease in visitors to a particular facility.		
GM-20	M	The proposed solution shall classify STG data by security classification and control user permissions for viewing the classified data according to level of data and user classification.		
GM-21	M	The proposed solution shall provide the ability to capture gang information such as: <ul style="list-style-type: none"> • Gang Name • Gang Type – STG, CSG • Gang Characteristics (tattoos, etc.) 		
GM-22	M	The proposed solution shall provide the ability to track the validation of gangs to the STG level.		

Hold, Warrants & Detainers

The requirements in this category records, tracks, updates, and resolves as appropriate potential and actual holds, warrants and detainers (HWDs) placed on an ADC inmate by other law enforcement agencies. This business process also includes the procedures to request, authorize/issue, and transmit holds, warrants, and detainers to other law enforcement agencies when an offender has absconded parole supervision, escaped the jurisdiction of ADC, or otherwise must be detained by another agency for ADC.

Req #	Cat. M/D	Description	Response Code	Reference
HW -1	M	The proposed solution shall record felony hold information including, but not limited to: arresting agency, and offense description.		
HW -2	M	The proposed solution shall record the results of the Immigration interview.		
HW -3	M	The proposed solution shall generate an inquiry to law enforcement agencies according to business rules.		
HW -4	M	The proposed solution shall record response to law enforcement inquiry. Response may include, but is not limited to arrest disposition, decision to place (or not place) a HWD, referral to another agency (e.g., court).		
HW -5	M	The proposed solution shall record key HWD information from law enforcement, including but not limited to: agency; warrant number; bail amount; offense description, including untried/tried charges, probation revocation; expiration date and Agency/Law enforcement contact information.		
HW -6	M	The proposed solution shall identify HWD that are expiring (time servers) based on business rules.		
HW -7	M	The proposed solution shall update the offender record upon expiration of HWD.		
HW -8	M	The proposed solution shall record the results of housing/custody review.		
HW -9	M	The proposed solution shall record a request to resolve HWD using business rules.		
HW -10	M	The proposed solution shall determine the type of resolution documents that are needed based on business rules.		
HW -11	M	The proposed solution shall record date the resolution documents are received by the agency and attach the resolution documents to HWD.		
HW -12	M	The proposed solution shall determine when a dismissal request is required using business rules. Example includes when the time period expires for Demand for Trial, new forms, such as "Motion for Dismissal" are created and sent to the court.		

Req #	Cat. M/D	Description	Response Code	Reference
HW -13	M	The proposed solution shall automatically generate the resolution request to appropriate court.		
HW -14	M	The proposed solution shall capture requests from law enforcement.		
HW -15	M	The proposed solution shall communicate cite and release to law enforcement.		
HW -16	M	The proposed solution shall record receipt of HWD cancellation request and attach associated documentation.		
HW -17	M	The proposed solution shall update the HWD to indicate no longer active.		
HW -18	M	The proposed solution shall identify offenders nearing release who have active HWD.		
HW -19	M	The proposed solution shall identify offenders being released (out to court) that require an ADC Hold/Detainer based on business rules.		
HW -20	M	The proposed solution shall record Warrant request. The request may include but is not limited to requestor; type of Warrant (e.g., parolee at large, escapee, justification for Warrant, etc.).		
HW -21	M	The proposed solution shall record authorization to issue the Want/Warrant.		
HW -22	M	The proposed solution shall capture authorization to upgrade an existing Want/Warrant and communicate status change to ACJIS (Arizona Criminal Justice Information System).		
HW -23	M	The proposed solution shall use business rules to generate an escape bulletin for law enforcement.		
HW -24	M	The system shall record request to cancel Warrant or Detainer. The request may include but is not limited to requestor; type of cancellation request (e.g. cancel active Want/Warrant or active Hold/Detainer, etc.); justification for request.		
HW -25	M	The proposed solution shall record authorization to cancel the Warrant or Detainer.		

Scheduling

The requirements in this category address coordinating scheduling of offender activities, such as medical appointments, classification committee hearings, transportation, visits, work or program assignments, and BoEC hearings. The new scheduling module will replace ADC's current scheduling systems.

Req #	Cat. M/D	Description	Response Code	Reference
SC -1	M	The proposed solution shall have a scheduling/re-scheduling component to provide tracking of all offender activities, including transfers to court, offender jobs, programs, transports, healthcare appointments, work crew, etc.		
SC -2	M	The proposed solution shall prioritize inmate appointments based on ADC's designated priority levels. Each appointment type has been assigned a priority level. (1, 2 or 3) <ul style="list-style-type: none"> • Level 1 - Health Unit. Parole hearing, Ice Hearing, Mexican Consulate and Telephonic Court Hearing appointments. • Level 2 - Certain Visits, Education testing, Paralegal and Legal Calls. • Level 3 - All others 		
SC -3	M	The proposed solution shall automatically check for and advise of any scheduling conflicts (programs or work).		
SC -4	M	The proposed solution shall flag and/or bump offenders' conflicting programming schedules based on criteria provided by ADC.		
SC -5	M	The proposed solution shall be able to schedule events (such as religious services, etc.) for the facility, housing areas or individual inmates.		
SC -6	M	The proposed solution shall print schedules for the entire facility and/or specific inmates by day, week, month or year.		
SC -7	M	The proposed solution shall provide the ability to view schedules for the entire facility or specific inmates by day, week, month or year.		
SC -8	M	The proposed solution shall provide the ability to use the integrated scheduling module to create Unit transportation schedules.		
SC -9	M	The proposed solution shall identify transportation conflicts and issues.		

Req #	Cat. M/D	Description	Response Code	Reference
SC-10	M	The proposed solution shall create/update the transportation schedules based on both fixed run schedules and schedules built on an as needed basis. Note: The schedule may contain dates and times, start and end locations, and a count of offenders for each schedule.		
SC-11	M	The proposed solution shall interface with the health care scheduling system.		
SC-12	M	The proposed solution shall provide standard and parameter driven reporting capabilities to meet ADC's Scheduling business needs.		
SC-13	M	The proposed solution shall have the capability to schedule group appointments for offenders.		
SC-14	M	The proposed solution shall have the ability to set up reoccurring appointments.		
SC-15	M	The proposed solution shall have the ability to produce Master Pass Lists (turn out scheduling system TOSS – Gate Passes and inmate Passes) for appointments.		
SC-16	M	The proposed solution shall have the ability to produce inmate passes for appointments.		

Discipline

The requirements in this category address fair and consistent application of the offender disciplinary process, which is designed to have a positive impact on controlling and rewarding offender behavior and to document incidents that lead to individual disciplinary actions.

Req #	Cat. M/D	Description	Response Code	Reference
DI-1	M	The proposed solutions shall support unlimited discipline violation codes linked to different sanctions (penalties imposed as a result of the codes).		

Req #	Cat. M/D	Description	Response Code	Reference
DI -2	M	The proposed solution shall record rules violation information including but not limited to violation description, violation circumstances, violation code, date/time of the violation and date/time the violation was reported and entered into the system and who (staff ID) that reported the violation.		
DI -3	M	The proposed solution shall record the result of ADC staff initial review of the level of misconduct based on business rules that include but are not limited to those listed in DO 0803 section 803.05 and 803.06. Levels of rules violation include but are not limited to Class A, Class B and Class C Violations.		
DI -4	M	The proposed solution shall record the results and updates of the disciplinary review. (the disciplinary coordinator decides dismiss, minor or major).		
DI -5	M	The proposed solution shall record the outcome of informal disciplinary actions taken based on business rules.		
DI -6	M	The proposed solution shall record potential hearing witnesses.		
DI -7	M	The proposed solution shall record approvals and denials of the offender's request for potential witnesses.		
DI -8	M	The proposed solution shall record pending disciplinary charges.		
DI -9	M	The proposed solution shall record hearing postponements.		
DI -10	M	The proposed solution shall record any supplemental reports which correspond to the rules violation based on business rules.		
DI -11	M	The proposed solution shall record issuance of any documentary evidence to the offender prior to the hearing.		
DI -12	M	The proposed solution shall record the plea of the offender.		
DI -13	M	The proposed solution shall record witness/offender statements.		
DI -14	M	The proposed solution shall record a finding (guilty/not guilty).		

Req #	Cat. M/D	Description	Response Code	Reference
DI-15	M	The proposed solution shall review sanctions entered by ADC Staff based on business rules that include but are not limited to those documented in DO 0803, Attachment B. Penalties and identify any conflicts of overages of sanctions.		
DI-16	M	The proposed solution shall record the review and approval of the hearing results based on business rules in DO 0803, Disciplinary Procedures. – (Major is approved by the disciplinary hearing officer, Minor is approved by the disciplinary coordinator).		
DI-17	M	The proposed solution shall record sanctions.		
DI-18	M	The proposed solution shall record the recommendation, review, and approval of forfeitures of earned good time credits as a result of the disciplinary action and approval will impact sentence calculation processing. Note:(Disciplinary action officer cannot approve, review and approval can only be done by ADC director and/or his designee)		
DI-19	M	The proposed solutions shall provide the ability to recalculate sentences based on sentencing rules effective as of the date of the violation (i.e., effective dating).		
DI-20	M	The proposed solution shall provide standard and parameter driven reporting capabilities to meet ADC discipline business needs.		

Programs

Programs includes work and/or program activities including ACI, education, counseling and treatment rehabilitation (Drug(s) sex offender, special counseling etc.) and inmate trust accounts requirements.

Inmate Work/Programs

The requirements in this category address placing offenders into appropriate work/programs within, or contracted to, ADC.

Req #	Cat. M/D	Description	Response Code	Reference
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Req #	Cat. M/D	Description	Response Code	Reference
PR -1	M	The proposed solution shall establish, maintain work/program information in accordance with DO 0903 – Inmate Work Activities, Section 903.01 – Inmate Work Programs (e.g. program name/description, location, capacity, vacancy, positions, position type, pay rate, special qualifications, program areas, treatment, and training).		
PR -2	M	The proposed solution shall determine and maintain offender priority into a work/program placement based on business rules which include but are not limited risk and needs assessment score, commitment offense, disciplinary.		
PR -3	M	The proposed solution shall prioritize inmates to complete specific programming (Academic and Career Technical Education, Substance Abuse and Sex Offender Treatment and Self-Improvement (e.g., Cognitive Restructuring, Re-entry) during their incarceration. Programming shall be based on their identified risks and needs, and time to release through the Priority Ranking Report.		
PR -4	M	The proposed solution shall record special qualifiers/eligibility for work/programs required from offenders based on business rules including but not limited to custody designation, time remaining to serve, etc.		
PR -5	M	The proposed solution shall establish and maintain work/program waiting lists based on business rules that include but are not limited to, release date,, wait list time length, housing, and offender location, etc.		
PR -6	M	The proposed solution shall assign an offender to work/programs and/or waiting lists according to business rules (including but not limited to DO 0903 – Inmate Work Activities, Section 903.04 – Minimum Criteria for Assignment – Internal Risk / Custody Level and Section 903.05 – Arizona Correctional Industries (ACI) Assignment and Pay). Information captured includes but is not limited to date assigned, schedule, location, work group, pay rate, etc.		
PR -7	M	The proposed solution shall identify discrepancies when assigning an offender to work/programs that does not match their custody designation or fails to assign an offender in the correct priority per the offender’s credit eligibility, ethnicity.		
PR -8	M	The proposed solution shall calculate offender pay based on business rules including but limited to DO 0903 – Inmate Work Activities, Section 903.02 – Inmate Work Incentive		

Req #	Cat. M/D	Description	Response Code	Reference
		Pay Plan (WIPP).		
PR-9	M	The proposed solution shall record offender work/program performance including but not limited to participation level, behavior, outcome and completion in accordance with to DO 0903 – Inmate Work Activities, Section 903.06 – Work and Program Assignment Evaluation.		
PR-10	M	The proposed solution shall record requests for removal/change from work/program and the reason for the request.		
PR-11	M	The proposed solution shall record changes in work/program assignments .		

Inmate Education

The requirements in this category address providing offender education services including Mandatory Literacy, General Equivalency Diploma (GED) Preparation, Special Education (SPED), Career and Technical Education (CTE), and Post-Secondary Academic programs.

Req #	Cat. M/D	Description	Response Code	Reference
PR-12	M	The proposed solution shall track and manage academic and vocational education services for offenders, including creating and storing electronic education records.		
PR-13	M	The proposed solution shall record Education testing results (e.g., TABE score, ADA needs / reasonable accommodations / effective communication, etc.).		
PR-14	M	The proposed solution shall provide the ability to use scale scores for reporting test results.– The scales can be driven off of McGraw interface data and/or ADC manual tracking of TABE scores. (may be a copyright issue with McGraw Hill).		
PR-15	M	The proposed solution shall provide education-related codes that meet Inmate Education business needs (e.g., inmate special education exemptions, GED, HSD, mandatory literacy) .		

Counseling and Treatment

The requirements in this category address the drug, sex offender, and special counseling and treatment for inmates.

Req #	Cat. M/D	Description	Response Code	Reference
PR-16	M	The proposed solution shall provide the ability to upload testing and survey results from standalone PC applications (e.g. Pre and Post counseling programs that the offender fills out on a stand-alone PC).		
PR-17	M	The proposed solution shall interface with health and community agencies to enable the sharing of clinical information.		
PR-18	M	The proposed solution shall record clinical notes.		
PR-19	M	The proposed solution shall limit the viewing and updating of clinical notes (e.g. should not be viewed by attorneys, general staff).		
PR-20	M	The proposed solution shall automatically place a movement hold with a projected end date and remove the hold when the counseling and/or treatment program is completed.		

Inmate Trust Accounts (ITA)

The requirements in this category address inmate trust accounts including the receipt of monies and the distribution monies collected from inmates for state filing fees, federal filing fees, court ordered restitution payments, and child support, etc..

Req #	Cat. M/D	Description	Response Code	Reference
PR-21	M	The proposed solution shall establish a trust account for each inmate.		
PR-22	M	The proposed solution shall record all debits and credits to inmates trust accounts.		
PR-23	M	The proposed solution shall meet GAAP rules.		

Req #	Cat. M/D	Description	Response Code	Reference
PR-24	M	The proposed solution shall electronically capture inmate payroll information for internal, ACI institutional and external private employer jobs.		
PR-25	M	The proposed solution shall account for inmate purchases and returns in real-time via direct debits and credits for commissary transactions.		
PR-26	M	The proposed solution shall calculate and apply pro-rated amounts for partial deductions (e.g. Job payment and a percent goes toward restitution, child support, partial utilities, program fees).		
PR-27	M	The proposed solution shall provide the ability to place the inmate's trust account on "Hold".		

Earned Incentive Program

ADC developed the Earned Incentive Program (EIP) to assist inmates in learning and sustaining a responsible, pro-social lifestyle and incorporate ethics and values into their everyday lives.

Req #	Cat. M/D	Description	Response Code	Reference
EI - 1	M	The proposed solution shall establish and maintain Earned Incentive Program inmate qualification in accordance with DO 0809 – Earned Incentive Program Activities.		
EI - 2	M	The proposed solution shall calculate the inmate's EIP status based on the following criteria including but not limited to: <ul style="list-style-type: none"> • Time is the phase • Literacy standard • Disciplinary actions • Refused/Removed program • Amount of time free disciplinary actions 		

Req #	Cat. M/D	Description	Response Code	Reference
EI-3	M	<p>The proposed solution shall establish the inmate's privilege category for the following activities including but not limited to:</p> <ul style="list-style-type: none"> • Commissary general and holiday spending limit • Telephone usage • Number of weekly visits • Recreation privileges • Hobby Craft privileges • Number of food visits 		
EI-4	M	The proposed solution shall establish, maintain and track an inmate's Correction Plan is tailored to their specific risks, needs and time to serve and includes all facets of their daily life. Inmates will make decisions, solve problems and be held accountable commensurate with their custody level for the duration of their incarceration.		
EI-5	M	The proposed solution shall update inmate's EIP status and notify ADC staff and inmate of any changes on a weekly basis.		

Grievance/Appeal

The requirements in this category address providing offenders with a mechanism to appeal Departmental decisions, actions, conditions or policies, which they can demonstrate as adversely impacting their conditions of confinement or institutional life.

Appeal includes Discipline, Publication Screening and Review, Protective Custody, Security Threat Group Validation, or Classification appeals.

Req #	Cat. M/D	Description	Response Code	Reference
GA -1	M	The proposed solution shall record appeal/grievance information for each level of appeal/grievance according to DO 0802, Inmate Grievances.		

Req #	Cat. M/D	Description	Response Code	Reference
GA -2	M	The proposed solution shall record screening results (accept or reject the appeal/grievance) based on, for example, completeness, only one issue per appeal/grievance, timeframes for filing the appeal/grievance, etc.		
GA -3	M	The proposed solution shall record reason for rejection.		
GA -4	M	The proposed solution shall determine the review level of the appeal/grievance.		
GA -5	M	The proposed solution shall record information related to staff's review, evaluation, offender interview/documentation if appropriate, and any other information related to the decision making process.		
GA -6	M	The proposed solution shall record disposition of appeal/grievance (e.g. grant, partial grant, deny, withdraw, cancel).		
GA-7	M	The proposed solution shall provide notification of findings to inmates (automated forms/letters) for each level of the same appeal/grievance.		
GA -8	M	The proposed solution shall provide the ability to notify appeal staff of outstanding appeals to ensure timeframes are maintained.		

Visitation

The requirements in this category address supporting visitation with an offender from reviewing and approving applications, maintaining visitor lists and processing visitors in and out of the institutions / facilities.

Req #	Cat. M/D	Description	Response Code	Reference
VI -1	M	The proposed solution shall record the inmate list of 20 visitor's which includes required information such as; Name, relationship, DOB, SSN, addresses.		
VI -2	M	The proposed solution shall record online/paper visitor requests.		

Req #	Cat. M/D	Description	Response Code	Reference
VI -3	M	The proposed solution shall provide a public facing online visitor application (internet portal).		
VI -4	M	The proposed solution shall provide the ability to accept visitor application payments via check and electronic payment for background visitation fees.		
VI -5	M	The proposed solution shall compare the visiting request against the offender's visiting information.		
VI -6	M	The proposed solution shall record results of background searches/checks on potential visitors (pending, approved, disapproved).		
VI -7	M	The proposed solution shall record requests for background search follow up information of visitation requests.		
VI -8	M	The proposed solution shall recommend approval/denial of visitation request based on criteria provide by ADC and DO 911 Inmate Visitation which includes but is not limited to the number of inmates affiliated with the visitor.		
VI -9	M	The proposed solution shall record results of visitation applications review (approve or deny) and notify appropriate parties.		
VI -10	M	The proposed solution shall manage /schedule visitation based on custody level/facility level, and EIP level (contact vs. non-contact, regular, etc.).		
VI -11	M	The proposed solution shall maintain a list of approved visitors and/or types of visitors for a given offender, including but not limited to: name, address, birth certificate for minor visitor.		
VI -12	M	The proposed solution shall maintain a list of offenders for a given visitor, including but not limited to: name, address, birth certificate for minor visitor.		
VI -13	M	The proposed solution shall document unusual behavior during visit (e.g. suspicious behavior, violations, etc.		

Req #	Cat. M/D	Description	Response Code	Reference
VI -14	M	The proposed solution shall identify individuals prohibited from visitation with a given offender (e.g. suspensions, victim or victimizer, coconspirators, etc.).		
VI -15	M	The proposed solution shall record offender visiting restrictions (e.g. no visiting with minors, visiting restricted as a result of Disciplinary action, etc.).		
VI -16	M	The proposed solution shall record arrival of visitor and offender at visiting room.		
VI -17	M	The proposed solution shall record departure of visitor and offender from visiting room.		
VI -18	M	The proposed solution shall record an outcome of the visit (terminated, completed, refused, etc.		
VI -19	M	The proposed solution shall provide an alert based upon the frequency of the current visitor with other inmates within a certain amount of time.		

Religious Services

The requirements in this category address ADC religious services functionality

Req #	Cat. M/D	Description	Response Code	Reference
RE-1	M	The proposed solution shall record an inmate' religious information including but not limited to religious preference, faith-based food service needs, and religious property.		
RE-2	M	The proposed solution shall provide a consolidated view of inmates' religious information (including religious preference, food service needs, religious property).		
RE-3	M	The proposed solution shall provide access to Inmate Property to assess, approve, and track inmate's religious property and dietary needs.		
RE-4	M	The proposed solution shall establish commissary inmate purchase additions/restrictions based upon approved religious affiliation.		
RE-5	M	The proposed solution shall generate a diet card for kitchens and dieticians for inmate's faith-based food service needs.		
RE-6	M	The proposed solution shall track the recording and approval of marriage application requests.		
RE-7	M	The proposed solution shall provide the status of marriage application request.		
RE-8	M	The proposed solution shall provide the ability to create and distribute religious services/events notices.		

Inmate Commissary

The requirements in this category address the inmate's ordering and receiving of commissary items and the interface with ADC's Commissary vendor.

Req #	Cat. M/D	Description	Response Code	Reference
IC-1	M	The proposed solution shall interface with ADC's Property module to add items purchased to the inmate's property list.		
IC-2	M	The proposed solution shall provide paper-based (on a bubble form) purchase request that are linked/scanned into the solution for transmission to ADC's third party vendor (Keefe).		
IC-3	M	The proposed solution shall provide the ability for the inmate to complete an on-line purchase request to order items from ADC's third party vendor (Keefe).		
IC-4	M	The proposed solution shall interface with ADC's Property module to compare the inmate's commissary order against the inmate's current property prior to transmitting the order to ADC's third party vendor (Keefe) and modify, approve, reject the order according to available funds, EIP status, existing property and religious preferences.		

Arizona Correctional Industries (ACI)

The requirements in this category address ACI functionality

Req #	Cat. M/D	Description	Response Code	Reference
CI-1	M	<p>The proposed solution shall record and maintain ACI jobs information. classified as either "Owned and Operated" or "Labor Contract" including but not limited to:</p> <ul style="list-style-type: none"> • Job title • Job description • Job duties • Job entry criteria (inmate qualifications) 		

Req #	Cat. M/D	Description	Response Code	Reference
		<ul style="list-style-type: none"> • Job employer (institution, state agency, private employer, address, etc.) • Job location information • Job schedule information (days, hours of work, etc.) • Job pay range information • Inmate pay rate information • Job evaluation information 		
CI-2	M	<p>The proposed solution shall provide the ability to capture inmate work information including but not limited to:</p> <ul style="list-style-type: none"> • Number of hours worked • Days worked 		
CI-3	M	<p>The proposed solution shall provide the ability to capture inmate work evaluation information including but not limited to:</p> <ul style="list-style-type: none"> • Inmate behavior • Inmate work attendance 		
CI-4	M	The proposed solution shall interface with the Inmate Trust Accounts module.		

Community Corrections

Pre-Community Supervision and Release

The requirements in this category address preparing the offender and his/her information for release from an institution (temporary or for community correction); releasing the offender to community supervision or discharging the offender. Needs/Risk assessment is used when conducting release planning, etc....program placement, intervention, etc.

Req #	Cat. M/D	Description	Response Code	Reference
CC-1	M	The proposed solution shall identify offenders with upcoming hearing/review dates.		

Req #	Cat. M/D	Description	Response Code	Reference
CC -2	M	The proposed solution shall record Notification of Rights served to the offender.		
CC -3	M	The proposed solution shall record BoEC hearing/review results. Results can include but are not limited to: community supervision grant/deny, justification for decision, scheduling next hearing date, program recommendations, revocation offense(s), revocation time imposed, credit earning eligibility.		
CC -4	M	The proposed solution shall record Board hearing/review amended results.		
CC -5	M	The proposed solution shall generate a referral for a Governors review based on criteria provided by ADC.		
CC -6	M	The proposed solution shall record results of Governor's decision.		
CC -7	M	The proposed solution shall identify offenders with upcoming release date based on business rules.		
CC -8	M	The proposed solution shall record results of interviews in preparation for release to include but not limited to: ADA needs / reasonable accommodations / effective communication, employment plans, residence plans etc.).		
CC -9	M	The proposed solution shall record results of various community supervision assessments.		
CC -10	M	The proposed solution shall record conditions of community supervision.		
CC -11	M	The proposed solution shall record offender agreement / refusal of conditions of community supervision		
CC -12	M	The proposed solution shall assign offender to community supervision region, unit supervising Community Correction Officer (CCO).		
CC -13	M	The proposed solution shall record results of pre-community supervision investigations to update risk and needs/community supervision plan (e.g. community supervision job skills, criminal history).		

Req #	Cat. M/D	Description	Response Code	Reference
CC -14	M	The proposed solution shall record approval of community supervision plan, level of supervision and conditions of community supervision.		
CC -15	M	The proposed solution shall record release document approvals.		

Community Corrections

The requirements in this category address ensuring offenders are assigned to agents who will monitor them for compliance with their conditions of community corrections, and report violations of community supervision.

Req #	Cat. M/D	Description	Response Code	Reference
CC -16	M	<p>The proposed solution shall record initial interview results which include but is not limited to:</p> <ul style="list-style-type: none"> • ADA needs / reasonable accommodations / effective communication verification and review • Acknowledgement/reaffirmation of conditions of release • Address verification / mapping and updates • Verification of compliance with applicable laws (e.g. sex offender/narcotic offenders) • PACT program referrals • Specific instruction regarding locations of penal code registration requirements. • Photographs • Modified/special conditions of community supervision • Scars, marks and tattoos • Verbal Instructions • Employment • Offender police contact 		
CC -17	M	The proposed solution shall record offender programs referrals.		

Req #	Cat. M/D	Description	Response Code	Reference
CC -18	M	The proposed solution shall record results of offender monitoring/contacts.		
CC -19	M	The proposed solution shall record offender progress in community based (non-ADC programs).		
CC -20	M	The proposed solution shall record specifics of offender behavior (positive and/or adverse).		
CC -21	M	The proposed solution shall record reviews, recommendation and approvals which include but are not limited to: <ul style="list-style-type: none"> • Case status reviews • Discharge Reviews • GPS verification reviews • Activity reports 		
CC -22	M	The proposed solution shall record potential violations (e.g. a description of the offender's alleged violation, date and location of the alleged violation, participants involved)		
CC -23	M	The proposed solution shall record offender notification of rights, charges and sanctions/interventions.		
CC -24	M	The proposed solution shall record violation information for supervisor review and approval to include but is not limited to unit supervisor and community supervision administrator reviews based on business rules.		
CC -25	M	The proposed solution shall record recommended violation outcome actions (e.g. specific sanctions, changes to conditions of community supervision, increased supervision, refer to BoEC).		
CC -26	M	The proposed solution shall record the outcomes of the initial BoEC assessment.		
CC -27	M	The proposed solution shall record the results and decisions from BoEC hearings. The results include but are not limited to establishing and reviewing treatment and training programs, determining community supervision suitability, setting a community supervision date, changing a community supervision date, rescinding a community supervision date, discharge from community supervision, determining MDO or SVP		

Req #	Cat. M/D	Description	Response Code	Reference
		referrals.		
CC-28	M	The proposed solution shall provide the ability to view institutional offender history.		
CC-29	M	The proposed solution shall provide the ability to easily search chronological notes and comments.		
CC-30	M	The proposed solution shall provide the ability to automate creation of release packets and distribute them electronically.		
CC-31	M	The proposed solution shall provide the ability to accurately calculate community corrections fees including but not limited to: <ul style="list-style-type: none"> • General Cost of Supervision fees (\$65); • BoEC fees (amount set by BoEC) • Elevated supervision/GPS tracker (\$8/day); • Interstate compact application fee (\$200/application); • Substance abuse testing (varies based on county of residence) • Community Corrections Center fees 		

Reporting and Data Analysis

The requirements in this category address ADC reporting and data analysis business needs.

Req #	Cat. M/D	Description	Response Code	Reference
DA -1	M	The proposed solution shall provide real-time access to decision support data.		
DA -2	M	The proposed solution shall provide reports for all critical business functions, defined both as readable formatted reports for distribution on paper and/or alternate media, and data in a format that can be imported into standard Microsoft office tools to meet ADC's business		

Req #	Cat. M/D	Description	Response Code	Reference
		requirements. These shall include all current reports as listed in the Bidders' Library as well as new reports defined during the requirements and design activities.		
DA -3	M	The proposed solution shall provide the ability for reports to be automatically generated on a scheduled basis and distributed on a periodic basis.		
DA -4	M	The proposed solution shall provide the ability to distribute reports through various mediums such as email, downloaded to share drives, internet.		
DA -5	M	The proposed solution shall support standard federal and state government reporting requirements in all OMS functions covered by this RFP.		
DA -6	M	The proposed solution shall provide parameter driven reporting capabilities to meet ADC business needs including but not limited to: <ul style="list-style-type: none"> • Inmate Trust Accounting reconciliation reports • Work/program overdue evaluation report • Inmate religious preferences by unit, • Turn-out rosters by unit • Community Correction reports • Counsel and Treatment comparison of demographics of inmates and treatment as it relates to recidivism. 		
DA -7	M	The proposed solution shall provide data analysis capabilities that help decision makers use data, documents, knowledge, and analytical models to identify and solve problems.		
DA -8	M	The proposed solution shall support flexible, ad-hoc queries without IT intervention.		
DA -9	M	The proposed solution shall provide drill down capability, providing summary information as well as the ability to drill down to the details associated with the summary information.		
DA -10	M	The proposed solution shall provide option to save ad-hoc report criteria.		

Req #	Cat. M/D	Description	Response Code	Reference
DA -11	M	The proposed solution shall or allow access to data for reporting needs using data connections from third-party applications such as Microsoft Excel, SAS, SPSS, etc..		
DA -12	M	The proposed solution shall provide enhanced reporting and search functionality (e.g., education waiting status on inmate reports, more flexible, multi-variant search capabilities [e.g., Hispanic-Asians race reporting]).		
DA -13	M	The proposed solution will allow for the establishment of term records -- the ability to easily construct what happens to an inmate during the course of one particular incarceration period, i.e. what disciplinary violations committed, programs taken, or housing assignments between admission date A and release date A.		
DA-14	M	The proposed solution will identify the current offenses the inmate is incarcerated for, the sentence length for each offense, and whether the sentences are concurrent or consecutive. In addition, the proposed solution must distinguish a natural life sentence from a life sentence with the possibility of parole.		
DA-15	M	The proposed solution will identify the description of ARS codes and disciplinary violation codes and for what date range that code was used for that purpose.		

Document and Image Management

The requirements in this category address ADC's document and image management functionality.

Req #	Cat. M/D	Description	Response Code	Reference
DM - 1	M	The proposed solution shall provide the ability to scan and store documents (e.g. court documents, medical documents, probation reports, arrest reports, other reports, and prior inmate case information prepared by ADC/ non-ADC staff, etc.).		
DM - 2	M	The proposed solution shall provide the ability to link stored documents to offender record(s) (e.g. digital photos, fingerprints).		
DM - 3	M	The proposed solution shall provide the ability to index and retrieve stored documents based on the document type, the date of the original document, the date of scanning and		

Req #	Cat. M/D	Description	Response Code	Reference
		the associated offender record.		
DM - 4	M	The proposed solution shall provide immediate access to received documents.		
DM - 5	M	The proposed solution shall scan and maintain documents in their native format, including the following standard formats: <ul style="list-style-type: none"> • Microsoft Word • Adobe PDF • Microsoft Excel 		
DM - 6	M	The proposed solution shall maintain a secure copy of the original document that cannot be modified.		
DM - 7	M	The proposed solution shall provide the ability to receive multiple documents simultaneously.		
DM - 8	M	The proposed solution shall provide the ability to 'mash up' several documents into one electronic grouping.		
DM - 9	M	The proposed solution shall provide the ability to upload and attach documents to an inmate's record.		
DM-10	M	The proposed solution shall provide the ability to search the scanned documents.		

Staff Identification

The requirements in this category address tracking of ADC staff, contract staff, volunteer staff and other users (including but not limited to Attorney General, county probation and/or police agency staff).

Req #	Cat. M/D	Description	Response Code	Reference
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Req #	Cat. M/D	Description	Response Code	Reference
ST -1	M	<p>The proposed solution shall add, change, display, and delete ADC, contractor, volunteer (within institution), and other staff information. Data shall include but not limited to:</p> <ul style="list-style-type: none"> • Staff name • Staff position (Job title) • Job classification • Staff Agency • Staff location information • Staff schedule information • Staff affiliation with inmates (relative, friend, etc.) 		

Technical Requirements

Technical includes regulation, hardware/software, database, housing of solution, network support, workstation software, user interface, error and exception handling, interfaces, system security management, availability, performance, capacity, retention and archive, and audit requirements.

Regulations

Req #	Cat. M/D	Description	Response Code	Reference
T-1	M	The proposed solution shall conform with the sub-parts of Section 508 of the Americans with Disabilities Act (ADA) (http://www.section508.gov/) as determined ADC.		
T-2	M	The proposed solution shall meet the requirements of applicable federal and State laws and regulations as determined by ADC. (ARS Title 13 Criminal Code, Title 31 Prisons and Prisoners and Title 28 Transportation, Article 3. Driving Under the Influence.		
T-3	M	The proposed solution shall comply with the 45 CFR § Parts 160, 162, and 164 (HIPAA of 1996; as amended by HITECH of 2009 and the HIPAA Omnibus Rule of 2013) to the extent and in the manner determined to be applicable by ADC (business associate status).		
T-4	M	The proposed solution shall comply with Electronic Records Management Guidelines for State Government.		

Hardware/Software

Req #	Cat. M/D	Description	Response Code	Reference
T-5	M	All hardware and software implemented shall comply with ADOA and ADC Information Technology Standards Arizona Department of Administration - Arizona Strategic Enterprise Technology (ADOA-ASET) and Information Technology Authorization Committee standards		

T-6	M	All hardware and software to be implemented shall be scalable, available and meet the performance constraints as defined in other sections of the technical constraints		
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Database

Req #	Cat. M/D	Description	Response Code	Reference
T-7	D	The proposed solution shall comply with ADC's standard of SQL Server databases for solutions of this size.		

Housing of Solution

Req #	Cat. M/D	Description	Response Code	Reference
T-8	M	All environments designated in Contract shall be vendor-hosted		
T-9	M	The proposed solution may recommend additional environments (such as conversion) which are necessary for the solution to be successful.		

Network Support

Req #	Cat. M/D	Description	Response Code	Reference
T-10	M	The proposed solution shall deliver services via the Arizona's Wide Area Network.		
T-11	M	The proposed solution shall use Transmission Control Protocol/Internet Protocol (TCP/IP) for all network communication.		
T-12	M	The proposed solution shall use Secure Sockets Layer (SSL) protocol for all network		

	communications.	
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Workstation Software

Req #	Cat. M/D	Description	Response Code	Reference
T-13	M	The proposed solution shall support a browser based interface (Internet Explorer V6.0 or above) running on the current version of Microsoft Windows operating system as required by ADC.		
T-14	M	The proposed solution shall provide initial and updates to workstation software without the need for manual intervention		

User Interface

Req #	Cat. M/D	Description	Response Code	Reference
T-15	M	<p>The proposed solution shall provide a user-friendly color Graphical User Interface (GUI) for user presentation. The GUI shall be consistent throughout the solution. Examples include but are not limited to:</p> <ul style="list-style-type: none"> • Standard naming conventions • Pointing device support • Pop-up windows • Keyboard functionality • Button navigation • Drop down lists • Auto fill 		

Error and Exception Handling

Req #	Cat. M/D	Description	Response Code	Reference
T-16	M	The proposed solution shall provide logging, reporting and accessing errors and exceptions.		

System Tools

Req #	Cat. M/D	Description	Response Code	Reference
T-17	M	The proposed solution shall integrate with existing systems and tools (GPS, Photo Capture, all interfaces designated in the Intake Section, etc.) including but not limited to the interfaces specified in this matrix.		
T-18	M	The proposed solution shall comply with NIEM-Justice standards for information exchange, where possible.		
T-19	M	The proposed solution should include all data elements in the NIEM-Justice standard.		
T-20	M	The proposed solution shall be able to support XML interfaces.		
T-21	M	The proposed solution shall be able to support industry standard bar code reading and production for forms and other items to minimize data entry requirements		

System Security Management

Req #	Cat. M/D	Description	Response Code	Reference
T-22	M	The proposed solution shall support user authentication and authorization, per NIST 800-63.		
T-23	M	The proposed solution shall comply with ADC security policies. A.R.S. Title 41, Chapter 32		

		Arizona Department of Administration - Arizona Strategic Enterprise Technology (ADOA-ASET) and Information Technology Authorization Committee standards.	
T-24	M	The proposed solution shall support Federal Information Processing Standard (FIPS) 199 and 200.	
T-25	M	The proposed solution shall comply with FIPS 140-2 for Encryption.	
T-26	M	The proposed solution shall support National Institute of Standards and Technology (NIST) 800-18, 800-88, 800-53A, 30, 53, 53a.	
T-27	M	The proposed solution shall include security administration roles, such as security architect, security administrator, security analyst, delegated administrator.	

Availability

Req #	Cat. M/D	Description	Response Code	Reference
T-28	M	The proposed solution shall have a scheduled uptime of 24 hours a day, seven days a week.		
T-29	M	The proposed solution shall be available no less than 99.99 percent of scheduled uptime in any calendar month.		
T-30	M	Routine maintenance shall not impact online availability or performance.		

Performance

Req #	Cat. M/D	Description	Response Code	Reference
T-31	M	The proposed solution shall provide the following user response times as measured over a period of one hour as determined by ADC: a) No more than three (3) seconds ninety-eight percent (98%) of the time for any		

		transaction		
		b) No more than two (2) seconds ninety percent (90%) of the time for any transaction. c) No more than one (1) second eighty percent (80%) of the time for any transaction.		
T-32	M	The proposed solution shall provide tools which support real-time monitoring by administrators of response time, system use and capacity, concurrent users, and system errors.		

Capacity

Req #	Cat. M/D	Description	Response Code	Reference
T-33	M	The proposed solution shall support the caseload and user base described in Section II and the Bidder's Library.		
T-34	M	The proposed solution shall support an annual workload growth rate of 10% over the next 10 years.		

Retention and Archive

Req #	Cat. M/D	Description	Response Code	Reference
T-35	M	The proposed solution shall distinguish between active and inactive cases and provide the ability to change the case from active status to inactive status and from inactive status back to active status.		
T-36	M	The proposed solution shall not allow inactive cases to deteriorate performance of active cases.		
T-37	M	The proposed solution must store archived data and make it accessible online to users within an ADC-specified period of time		

Audit

Req #	Cat. M/D	Description	Response Code	Reference
T-38	M	The proposed solution shall have the ability to provide an audit trail for all changes, additions and deletions to data (including operational and security data) according to NIST standards and ADC-specific requirements.		

Interfaces

The proposed solution will be required to exchange information with many other systems and source, both within and external to ADC. The requirements in this category address system interface functionality. Full descriptions of each interface, including frequency, media and content requirements are included in the Bidders' Library.

Req #	Cat. M/D	Description	Response Code	Reference
I-1	M	<p>The proposed solution shall provide a real-time HL7 interface to exchange data with the ADC Corizon Health Care System. Data should include but not limited to the following:</p> <ul style="list-style-type: none"> • Offender identification • Offender demographic information • Offender location information • Offender schedule information • Offender custody information that impacts health care • Offender medical and health records (EHR) <p>Functionality of the Corizon Health Care System and information on the required interface are provided in the Bidders' Library.</p>		
I-2	M	<p>The proposed solution shall interface with ADC's identification system including but not limited to:</p> <ul style="list-style-type: none"> • Digi-Web Scan • Mug Photo Interface System (MPPI) • Optical Print and Photo Image Subsystem (OPPIS) 		
I-3	M	<p>The proposed solution shall exchange data with the ADC Inmate Commissary System (Keefe) Data should include but not limited to the following:</p> <ul style="list-style-type: none"> • Offender identification • Offender location information • Offender EIP commissary status • Offender commissary order 		

Req #	Cat. M/D	Description	Response Code	Reference
I-4	M	<ul style="list-style-type: none"> Offender trust account information <p>The proposed solution shall exchange data with the ADC Telephone System (Securice). Data should include but not limited to the following:</p> <ul style="list-style-type: none"> Offender identification Offender location information Offender EIP telephone status 		
I-5	M	<p>The proposed solution shall exchange data with the ADC's ACI financial account system (Epicor). Data should include but not limited to the following:</p> <ul style="list-style-type: none"> Offender identification Offender location information Offender job salary payment <p>The data exchange shall meet GAAP rules</p>		
I-6	M	<p>The proposed solution shall exchange data with AZ Department of Public Safety's Automated Fingerprint Identification System (AFIS). Data should include but not limited to the following:</p> <ul style="list-style-type: none"> Offender/Visitor identification Offender location information Offender finger prints Offender DNA Offender Criminal History Visitor criminal history 		
I-7	M	<p>The proposed solution shall send data to the US Department of Commerce – US Data Census. Data should include but not limited to the following from the previous year:</p> <ul style="list-style-type: none"> Offender identification Offender location information Offender movement information 		

Req #	Cat. M/D	Description	Response Code	Reference
I-8	M	<p>The proposed solution shall exchange data with the AZ Department of Public Safety. Data should include but not limited to the following:</p> <ul style="list-style-type: none"> • Offender identification • Offender status and location information • Offender movement information • Offender holds, warrants, and detainer (HWD) information 		
I-9	M	<p>The proposed solution shall send data to US Department of Homeland Security, US Citizenship and Immigration Services (USCIS). Data should include but not limited to the following:</p> <ul style="list-style-type: none"> • Offender identification • Offender demographic information (nationality) • Offender location information • Offender HWD information 		
I-10	M	<p>The proposed solution shall send data to the US Social Security Administration. Data should include but not limited to the following:</p> <ul style="list-style-type: none"> • Offender identification • Offender admission / intake information 		
I-11	M	<p>The proposed solution shall send data to the AZ Department of Economic Security, Child Support Enforcement. Data should include but not limited to the following:</p> <ul style="list-style-type: none"> • Offender identification • Offender child support information 		
I-12	M	<p>The proposed solution shall send data to the AZ Department of Education systems. Data should include but not limited to the following:</p> <ul style="list-style-type: none"> • Offender identification • Offender demographic information • Offender location information 		

Req #	Cat. M/D	Description	Response Code	Reference
		<ul style="list-style-type: none"> Offender educational records Offender attendance Offender performance in educational assignment 		
I-13	M	<p>The proposed solution shall exchange data with third party education vendors. Data should include but not be limited to the following:</p> <ul style="list-style-type: none"> Offender identification Offender education records Offender TABE scores 		
I-14	M	<p>The proposed solution shall exchange data with the State servicing bank (currently Bank of America). Data should include but not be limited to the following:</p> <ul style="list-style-type: none"> Offender identification Offender ITA transactions (deposits/withdrawals) Offender booking number Offender SID 		
I-15	M	<p>The proposed solution shall exchange data with AZ Department of Administration (ADOA) the Arizona financial system . Data should include but not be limited to the following:</p> <ul style="list-style-type: none"> Building Maintenance fee transactions (Visitation) 		
I-16	M	<p>The proposed solution shall exchange data with the payment vendor for visitation. Data should include but not be limited to the following:</p> <ul style="list-style-type: none"> Visitor identification Visitor Application fees GAAP transactions 		
I-17	M	<p>The proposed solution shall exchange data with the AZ Courts. Data should include but not limited to the following:</p> <ul style="list-style-type: none"> Offender identification 		

Req #	Cat. M/D	Description	Response Code	Reference
I -18	M	<ul style="list-style-type: none"> Offender commitment information <p>The interface must support NIEM-Justice standards.</p> <p>The proposed solution shall exchange data with Regional Behavior Health Agencies. Data should include the following:</p> <ul style="list-style-type: none"> Offender identification Offender demographic information <p>Offender mental health clinical information</p>		
I -19	M	<p>The proposed solution shall exchange data with health and community agencies. Data should include the following:</p> <ul style="list-style-type: none"> Offender identification Offender demographic information Offender clinical information 		
I -20	M	<p>The proposed solution shall allow for highly configurable daily, weekly, or monthly scheduled imports from external data sources. (private employer, state agencies, etc.) Data should include but not limited to the following:</p> <ul style="list-style-type: none"> Offender identification Offender demographic information Offender location information Offender work/program information 		
I -21	M	<p>The proposed solution shall export data daily, weekly, or monthly to ADC internal users (ADC Planning, Budget and Research Bureau, web portal, ADC PC applications, etc.) Data should include but not limited to the following:</p> <ul style="list-style-type: none"> Offender identification Offender demographic information Offender location information Offender program information 		

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Attachment D - **Cost Schedules**

This attachment includes detailed cost schedules to be completed by the Offeror and included in the proposal:

- Cost Summary
- Schedule A
- Schedule B
- Schedule C

Cost Summary

		FY 2013/2014	FY 2014/2015	FY 2015/2016	FY 2017 through FY 2023	Total
Line #		01/01/14- 06/30/14	07/01/14- 06/30/15	07/01/15- 06/30/16	07/01/16- 06/30/23	
1	Total DDI Costs (from Schedule A)	\$0	\$0	\$0		\$0
2	Total Seven (7) -Year Maintenance and Operation Costs (from Schedule B)				\$0	\$0
3	Total Project Cost					\$0

Schedule A – Design, Development, and Implementation Payment Deliverables

Payment Deliverable	FY 2013/14	FY 2014/15	FY 2015/16	Total
Project Initiation				
Software Project Management Plan				\$0.00
Other (specify)				\$0.00
Requirements Definition				
Requirements Specification Document				\$0.00
Business Rules Document				\$0.00
Other (specify)				\$0.00
Design				
Design Specifications Document				\$0.00
Data Management Plan				\$0.00
Database Design Document				\$0.00
Disaster Recovery Plan				\$0.00
Interface Control Document				\$0.00
Other (specify)				\$0.00
Configuration and Development				
Master Test Plan				\$0.00
Unit Test Results				\$0.00
System and Integrated Test Results				\$0.00
Other (specify)				\$0.00
Conversion				
Conversion Plan				\$0.00
Preliminary Converted Data				\$0.00
Final Converted Data				\$0.00
Other (specify)				\$0.00
Implementation				
Post-Implementation Evaluation Report				\$0.00
Final Training Report				\$0.00
System Documentation				\$0.00
Maintenance and Operations Manual				\$0.00
Other (specify)				\$0.00
FY Totals	\$0	\$0	\$0	
Total DDI Price to be transferred to Cost Summary				\$0

Schedule B – Maintenance and Operations

	Annual	Total Seven (7)-Year SFY 2017 - 2023*
	Maintenance and Operation Cost.	Maintenance and Operation Cost (Annual Cost multiplied by 7).
Solution Maintenance and Operations	\$ _____	\$ _____ <i>To be transferred to Cost Summary</i>

*Must be seven (7) times the Annual Maintenance and Operations Cost

Schedule C – Modification Activities

Blended Hourly Rate for SFY 2017 through SFY 2023

\$ _____

Attachment E - **Reference Forms**

This attachment includes the Corporate Client Reference Form and Key Personnel Reference Forms to be completed by the Offeror and included in the proposal.

Corporate Client Reference Form

The Offeror is required to supply ADC with names, addresses, and telephone numbers of three (3) customers for which the Offeror has supplied products and services that are similar to those being requested in this RFP. All work for these references must have been performed within the past five (5) years. Only three (3) references should be submitted. Descriptions of Services Provided should address the similarity in scope and size of the Arizona replacement effort under this procurement.

Client Name: _____

Client Address: _____

Reference Name and Title: _____

Current Phone: _____

Email: _____

Description of Services Provided: _____

Client Name: _____

Client Address: _____

Reference Name and Title: _____

Current Phone: _____

Email: _____

Description of Services Provided: _____

Client Name: _____

Client Address: _____

Reference Name and Title: _____

Current Phone: _____

Email: _____

Description of Services Provided: _____

Key Personnel Reference Form

The Offeror is required to provide information on three (3) customers for all individuals who are considered key personnel as defined in Section V.

Proposed Key Person Name/Position: _____

Client Name: _____

Client Address: _____

Reference Name and Title: _____

Current Phone: _____

Email: _____

Description of Services Provided: _____

Proposed Key Person Name/Position: _____

Client Name: _____

Client Address: _____

Reference Name and Title: _____

Current Phone: _____

Email: _____

Description of Services Provided: _____

Proposed Key Person Name/Position: _____

Client Name: _____

Client Address: _____

Reference Name and Title: _____

Current Phone: _____

Email: _____

Description of Services Provided: _____

Attachment F - Participation in State Procurement Transactions by Small Business Form

PARTICIPATION IN STATE PROCUREMENT TRANSACTIONS BY SMALL BUSINESSES

The following definition will be used in completing the information required by one or more of three categories of business contained in this attachment as applicable to your firm: (1) Participation by Small Business.

Definitions

Period is the specified 12-month period for which the information provided in this list is applicable and valid. The period will be specified as month and year.

Firm name, Address and Phone Number is the name, address and business phone number of the small business, with which the Offeror has contracted or done business over the specified period of plans to involve on this contract, as applicable.

Contact Person is the name of the individual in the specified small business, who would have knowledge of the specified contracting and would be able to validate the information provided in this list.

Type Goods or Services is the specific goods or services the Offeror has contracted for from the specified small; over the specified period of time of plans to use in the performance of this contract, as applicable, The Offeror will asterisk (*) those goods and services that are in the Offeror's primary business or industry.

Dollar Amount is the total dollar amount (in thousands of dollars) the Offeror has contracted for or has done business with the listed firm during the specified period or plans to use on this Contract, as applicable.

% of Total Company Expenditures for Goods and Services is calculated by dividing the dollar amount of business conducted or contracted from with the indicted firm over the specified period by the total expenditure of the Offeror over the specified period for goods and service.

% of Total Contract is calculating by dividing the estimated dollars planned for the indicated firm on this Contract by the total Offeror estimated price of

this Contract.

**PARTICIPATION IN STATE PROCUREMENT
TRANSACTIONS
BY
SMALL BUSINESSES**

1. The Department encourages Contractors to provide for the participation of small businesses through partnerships, joint ventures, subcontractors, or other contractual opportunities. Submission of a report of past efforts to utilize the goods and services of such businesses and plans for involvement on this are required. By submitting a proposal, Offerors certify all information provided in response to this RFP is true and accurate.
2. Participation: All information requested by this RFP on the ownership, utilization and planned involvement of small businesses; must be submitted. If an Offeror fails to submit all information requested, the Department may require prompt submission of mission information after the receipt of proposals.
3. Submission Requirements: The Offeror must submit the following three sets of data for small business: (1) ownership, (2) utilization of small business for the most recent 12 months, and (3) planned involvement of small businesses, on the procurement. The formats for submission of this data are included on the following pages.
4. Periodic Progress Reports/Invoices: For contracts requiring the submission of periodic contract performance progress reports or program status reports, the Contractor will include a section on involvement of small businesses. The section will specify the actual dollars contracted to be spent to date with such businesses, actual dollars expended to date with such businesses, and the total dollars planned to be contracted with such businesses on this contract.

If the contract does not require the submission of periodic progress reports, the Contractor will be required to provide the above required information on actual involvement of small businesses as part of their periodic invoices or periodically as stipulated by the Department.

5. Final Actual Involvement Report: The Contractor will submit, prior to completion or at completion of the contract and prior to final payment, a report on the actual dollars spent with small businesses during the performance of this contract. At a minimum, this report

shall include for each firm contracted with and for each such business class a comparison of the total actual dollars spent on this contract with the planned involvement of the firm and business class as specified in the proposal, and the actual percent of the total contract value. A suggested format is provided on the following pages.

Attachment J - Rules for Non-Employees

RULES FOR NON-EMPLOYEES OF THE DEPARTMENT OF CORRECTIONS IN ARIZONA STATE PRISON COMPLEXES

POLICY STATEMENT:

While the institution recognizes the need of non-staff personnel to have in their possession certain personal items, limits are necessary for the security and safe operation of the institution.

PROCEDURES:

1. All persons entering the institution are subject to search prior to entry and while on the grounds of the institution. All non-staff personnel will, at all times, remain in their authorized area under the direction of the project coordinator.
2. Persons are allowed the materials necessary for the performance of their duties.
3. All non-staff personnel may have in their possession the following:
 - A. A wallet with normal contents, e.g.,
 - 1) photos and personal papers.
 - 2) currency not to exceed \$20.00 (Twenty Dollars). Excess will be reported to the shift commander prior to entry.
 - 3) no credit cards or checkbooks are allowed.
 - B. Handkerchief and comb.
 - C. Tobacco products and smoking apparatus for normal daily use.
 - D. Keys as necessary (auto and home).
 - E. Fingernail clipper.
 - F. Confectionary items (gum, candy, etc.)
 - G. Watch and rings.
4. All persons are prohibited from introducing medication drugs into the institution grounds unless such a medication has been properly prescribed by a licensed physician and is in

the original prescription container.

- A. Medications of a stimulate nature, i.e., Dexedrine, Preludins, Tenuate or any other appetite suppressant or any hypnotic-type drug, are specifically prohibited on institution property. Persons who are taking this type of medication prior to coming to the institution will report this fact to the Shift Commander, prior to reporting to their authorized area.
- B. Persons taking medications of the tranquilizer class, i.e., Valium, Librium, Miltown or any of the anti-depressant class, i.e., Sinequan, Triavil, Elavil or any mood modifying drug of any type; Pain medications i.e., Percodan, Percocet, hydrocodone (Vicodin), Tylenol with codeine, propoxphene, etc., will report this fact to the Shift Commander prior to going to their authorized area. Possession of these types of drugs on prison grounds will be limited to that amount necessary during one eight hour shift.
- C. Personnel taking any other class of medication i.e., antihistamines, antihypertensives, anticholingeries, etc., are limited in the introduction of only such amount of medication as will be required during the period of one eight hour shift, and this fact will be reported to the Shift Commander.
 - 1) Any deviation from this policy must be cleared with the Warden of the unit. Persons violating this policy may subject themselves to eviction from institution property and/or prosecution.

NOTE: If anyone loses or has stolen any personal items in his possession, the institution will attempt to retrieve the items, but cannot guarantee the return thereof nor provide reimbursement.

The following Arizona Revised Statutes dealing with inmate and non-staff member relationships require your strict adherence at all times during your stay at the Arizona State Department of Corrections.

Interest of employee and non-employee in contracts, gifts to or for inmates:
penalty

- 1. No non-staff member shall be interested in any contract or purchase made by anyone for or on behalf of the prison, or receive, directly or indirectly, compensation for his services other than prescribed by the administrator of the institution, nor shall he receive any compensation whatever for any act or services he performs for or on behalf of a Contractor, or any agent or employee of a Contractor.

2. No non-staff personnel, without permission of the administrator shall make a gift or present to or receive a gift from an inmate, or barter or deal with an inmate.
3. Any person violating this section shall be discharged from office or service, and every Contractor, or employee or agent of a Contractor, shall not be permitted to act or serve again as such Contractor, agent or employee.

Unauthorized communication with inmates: penalty

A person not authorized by law who, without the permission of the officer in charge of the state prison, communicates with a person imprisoned or detained therein, or who takes any letter, writing, literature or reading matter to or from a person imprisoned or detained therein, is guilty of a misdemeanor.

Signature

Date