

# SOLICITATION AMENDMENT

ARIZONA  
DEPARTMENT OF CORRECTIONS  
1601 W. JEFFERSON, MAIL CODE 55302  
PROCUREMENT SERVICES  
PHOENIX, ARIZONA 85007

SOLICITATION NO. ADOC14-00003350/ADC No. 14-025-23  
AMENDMENT NO. 5

Procurement Officer: Linda Wright

**SOLICITATION DUE DATE: October 29, 2013**

**SIGNED COPY OF THIS AMENDMENT MUST BE RETURNED WITH YOUR BID SOLICITATION.  
THIS SOLICITATION IS AMENDED AS FOLLOWS:**

## **RFP NO. ADOC14-00003350/ADC No. 14-025-23 Adult Inmate Management System (AIMS) Replacement**

The Proposal Due Date for this Solicitation remains **October 29, 2013** at 3:00 P.M. M.S.T. (Arizona Time)

Only the signature page of this Solicitation Amendment needs to be returned with the proposal response.

The following information is hereby amended:

**CHANGES, ADDITIONS OR DELETIONS IN REQUIREMENTS THAT WILL FORMALLY CHANGE THE SOLICITATION REQUIREMENTS WILL BE REFLECTED IN THE ATTACHED TABLE OF THIS SOLICITATION AMENDMENT TITLED "PROCUREAZ AIMS QUESTIONS" IN THE ADOC RESPONSE COLUMN.**

Attachments A, C, D, E and F to the RFP have been provided in a "fillable format" and are available with the Solicitation documents as an Attachment in ProcureAZ.

ALL OTHER PROVISIONS OF THE SOLICITATION SHALL REMAIN IN THEIR ENTIRETY

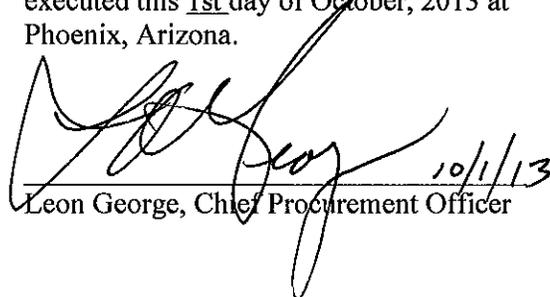
Vendor hereby acknowledges receipt and understanding of above amendment.

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Typed Name and Title

LG/lw

The above referenced Contract Amendment is hereby executed this 1st day of October, 2013 at Phoenix, Arizona.

  
\_\_\_\_\_  
Leon George, Chief Procurement Officer

No.	ProcureAZ Question	ADOC Response
1	Will the State please provide native file formats (Word, Excel and so forth) for the RFP that Vendors can utilize for their response?	Forms will be included herein as part of Sol. Amendment 5. RFP will not be provided in word format. RFP and attachments are available in PROCUREAZ.
2	Will a conference bridge or call-in number be provided for the Pre-Proposal Conference scheduled August 28TH at 10:00AM MST?	No. Answered via ProcureAZ already.
3	Will the State please confirm the link on page 12 of the RFP? We are unable to connect to the library using this link.	Please refer to the last sentence, section J, pg. 12, below the link. Answered via ProcureAZ already.
4	Will the ADC please consider making the Word versions of the RFP (AIMS RFP Final-SOW-SIO-STC [1].pdf) and Attachment C – Functional, Technical and Interface Requirements (Attachment C-14-025-23[1].pdf) available to vendors for response preparation?	See response to Question 1.
5	Will the ADC please consider alternatives to the requirement for a Performance/Payment Bond such as holding a percentage of the payment for each deliverable until final sign off is received?	No.
6	Would it be possible to get the RFP Attachments in their source Word and Excel formats? This will allow vendors to provide responses in the identical format and will make searching the documentation easier.	See response to Question 1.
7	Which of the twenty Functional Area(s) include the following PC Applications? Assault Tracking System Criminal Investigation Regional Behavior Health Authority Inmate Family and Friends Offender Services Bureau Prior Inmate Record Packets Inmate Records Inventory ICE	See response to Question 27.
8	Considering the size and breadth of scope of this project, as well as to provide enough time to fully analyze the Arizona Revised Statutes referenced throughout the RFP, would the State consider extending the Response Due Date by four weeks?	See Solicitation Amendment No. 2
9	Could the State please provide the RFP and all attachments in MS Word format?	See response to Question 1.
10	Considering the size and breadth of scope of this project, as well as to provide enough time to fully analyze the Arizona Revised Statutes referenced throughout the RFP, would the State consider extending the Response Due Date by four weeks?	See Solicitation Amendment No. 2

<p>11 Page 187 – GL-1: Will you please clarify in further detail what is intended by "in compliance with all applicable sections of Arizona Revised Statutes (ARS) ...."? How are these statutes reflected in the RFP requirements? Is there ever an instance where one might supersede the other? (ie. RFP requirement vs. Statute)</p>	<p>The RFP requirements have been developed in compliance with applicable ARS. As the vendor develops and implements more detailed requirements and specifications throughout the project, the Solution shall be in compliance with applicable sections of ARS at all times. Any specific questions regarding alignment between Solution requirements and ARS will be clarified by ADC upon request by the vendor.</p>
<p>12 Will the State provide the applicable ARS'?</p>	<p>ARS may be reviewed online at: <a href="http://www.azleg.gov/ArizonaRevisedStatutes.asp">http://www.azleg.gov/ArizonaRevisedStatutes.asp</a></p>
<p>13 Page 188 – GL-5: What does the State consider to be a 'time efficient' manner? Are there different expectations for different locations?</p>	<p>Retrieval of data shall be accomplished according to the criteria defined in the Service Level Agreements as finalized in the contract.</p>
<p>14 Page 191 – GL-37: Please explain what the location "CCF" is?</p>	<p>The fourth bullet in GL-37 in Attachment C is amended to read:</p> <ul style="list-style-type: none"> <li>• Location (e.g. institution, parole unit,)</li> </ul> <p>*CCF and Camp does not apply and has been removed*</p>
<p>15 Page 201- PO-11: Does the State have any plans to utilize barcode technology in Property inventory? What is intended to be done with the mobile device (ie. Tablet) referenced in this requirement?</p>	<p>The proposed solution may use tablets or handheld scanners to achieve this goal. On a side note the State is currently using the "CODE 128 Auto" elsewhere. <a href="http://www.barcode-labels.com/technical-support/techy-tip-code-128">http://www.barcode-labels.com/technical-support/techy-tip-code-128</a></p>
<p>16 Page 195 – GL-56: This requirement is a duplicate of GL-47 (Page 194). Is this intentional?</p>	<p>GL-56 is a duplicate description and is amended to read "Intentionally Left Blank"</p>
<p>17 Page 212 – GM-1: Please elaborate on what the specific 'GRITS' business needs are. There does not appear to be any mention of a Gang Related Information Tracking System in the AIMS PC Applications Attachment Matrix. Is this a system that is remaining in production? To be replaced?</p>	<p>The Solution will include and replace all business functionality currently provided through the GRITS application. Documentation of GRITS is provided in the Bidders' Library.</p>
<p>18 Page 206 – SE-1: Will you please clarify in further detail what is intended by " operate in accordance with Arizona Revised Statutes (ARS),...." with regard to Sentencing and Imprisonment? How are the statutes reflected in these RFP requirements? Is there ever an instance where one supersedes the other? (ie. RFP requirement vs. Statute)</p>	<p>See response to Question 11.</p>
<p>19 Page 213 – GM-9: Please provide ADC's DO 0806, Section 806.03 and explain how the definition of "including but not limited to" in the context of this requirement.</p>	<p>ADC Department Orders may be viewed on the ADC website by accessing: <a href="http://www.azcorrections.gov/Z_dept_orders_1.aspx">http://www.azcorrections.gov/Z_dept_orders_1.aspx</a></p>

20	Page 218 – SC-16: What is expected to be produced as an Inmate Pass for an appointment?	The process is defined as: 1) Patient puts in HNR 2) Nursing triages, places on either nursing or provider line 3) On the day of the appointment, Security calls patient up to clinic. On more secure yards, they will go get him. This process is currently automated and defined by an interface which moves data between the Electronic Health Record and AIMS (TOSS).
21	Page 218 – SC-15: Please provide further detail on what the Master Pass Lists (turn out scheduling system TOSS – Gate Passes and Inmate Passes) includes. There is no mention of this system in the AIMS PC Application Matrix. Is this a system that is remaining in production? To be replaced?	The Solution will include and replace all business functionality currently provided through the TOSS application. Documentation of TOSS is provided in the Bidders' Library.
22	Would the State please provide DO 0701 - Inmate Accountability, Section 701.05 - Movement Control?	See response to Question 19
23	Would the State please provide DO 0701 - Inmate Accountability, Section 701.04 - Inmate Courts?	See response to Question 19
24	Would the State please provide DO 0805 Protective Custody Policy?	See response to Question 19
25	Would the State please provide DO 0806, Security Threat Groups, Section 806.03, Individual Validation?	See response to Question 19
26	Will the ADC consider the combined experience of the offeror & subcontractors to meet the Basic Qualification Criteria?	No.
27	Correction of Question #7 submittal to separate PC Application names. Which of the twenty Functional Area(s) include the following PC Applications? Assault Tracking System, Criminal Investigation, Regional Behavior Health Authority, Inmate Family and Friends, Offender Services Bureau, Prior inmate Record Packets, Inmate Records Inventory, ICE	A specific PC Application may impact more than one of the twenty identified functional areas. The following indicates the primary area for functionality related to the applications; however vendors are responsible for determination of where functionality for each PC application applies to their solutions: Assault Tracking System - Discipline Criminal Investigation Bureau - Discipline Regional Behavioral Health Authority (RBHA) System - This is an interface requirement (not a functional area) Inmate Family and Friends (IFFL) - Visitation, Population Management Offender Services Bureau (OSB) - Document and Image Attachment, Grievances and Appeals Prior Packets - Reporting and Data Analysis Record Inventory - Reporting and Data Analysis ICE - Holds, Warrants and Detainers

28	Page 219 – DI-3: Please define what is meant by “based on business rules that include but are not limited to those listed”... Is there a way by which we can understand the potential scope of this requirement?	The business rules are based on the directives stated; however, business rules will be defined and finalized during requirements and design sessions with ADC users.
29	Please provide DO 0803, sections 803.05 and 803.06	See response to Question 19
30	Page 219 – DI-10: Please provide some examples of how supplemental reports correspond to rules violations based on business rules.	An inmate notice of the results provided to the inmate – an appeal notice, for example. An individual appeal may then be added to other appeals in the form of a higher level report by complex or agency.
31	Page 220 – DI-15: Are the business rules in this requirement expected to be automated? If so, please provide an example of how sanctions are based on business rules.	For example, the Detention penalty for Class A violations is 5-10 days. ADC would want edits to prevent entering in a number outside of that range. The same would apply to all other categories in the table B.
32	Page 220 – DI-15: Please provide DO 0803, Attachment B, Penalties.	See response to Question 19
33	Page 220 – DI-15: Please explain what is meant by “include but not limited to” Is there a way by which we can understand the potential scope of this requirement?	See response to Question 31
34	Please provide DO 0803, Disciplinary Procedures.	See response to Question 19
35	Please provide DO 0903 – Inmate Work Activities, Section 903.01 – Inmate Work Programs	See response to Question 19
36	Page 221 – PR-2: Please explain what is meant by “include but not limited to” Is there a way by which we can understand the potential scope of this requirement?	See response to Question 31
37	Considering the language “include but not limited to” is used throughout the requirements, please consider this question in relation to all that apply. Without knowing the potential scope of what is not limited, it will be difficult to assess fit. Is the State willing to modify or remove such language?	See response to Question 31
38	Please provide DO 0903 - Inmate Work Activities, Section 903.04 - Minimum Criteria for Assignment - Internal Risk / Custody Level and Section 903.05 - Arizona Correctional Industries Assignment and Pay	See response to Question 19
39	Please provide DO 0903 – Inmate Work Activities, Section 903.01 – Inmate Work Programs	See response to Question 19
40	Please provide DO 0903 - Inmate Work Activities, Section 903.02 - Inmate Work Incentive Pay Plan	See response to Question 19
41	Please provide DO 0903 - Inmate Work Activities, Section 903.06 - Work and Program Assignment Evaluation	See response to Question 19

42	Requirement PR – 16: Is this intended to be an interface?	Yes. AIMS Interface Documentation is described in the Bidders' Library.
43	Requirement PR-20: Does the movement hold start at time of referral or waitlist for a program or upon actual program start?	The movement hold should only be placed when the inmate is 'in' the program or until the process is completed (in the case of medical/dental treatment). There may be instances where some inmates may need to be 'held' at a location pending some other administrative concern however, so consideration will need to be given to abnormal circumstances.
44	Please provide DO 0809 - Earned Incentive Program Activities	See response to Question 19
45	Please provide DO 0802, Inmate Grievances	See response to Question 19
46	Please provide DO 911, Inmate Visitation.	See response to Question 19
47	Please provide DO 911, Inmate Visitation.	See response to Question 19
48	Please provide DO 911, Inmate Visitation.	See response to Question 19
49	Will the State please confirm that the new system is required to be at a FISMA moderate compliance level?	Yes, vendor shall 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. A formal model review for hosted security will be required. Certified FedRAMP certified. Vendor shall conform with best practices concerning security. <a href="http://csrc.nist.gov/publications/nistpubs/800-37-rev1/sp800-37-rev1-final.pdf">http://csrc.nist.gov/publications/nistpubs/800-37-rev1/sp800-37-rev1-final.pdf</a>
50	Attachment C says "The proposed solution shall integrate with existing systems and tools". Will the State please provide a list of the existing systems and tools? Pg 243	This information is provided in the Bidders' Library.
51	The RFP states, "...the proposed Solution must have been implemented and operational for at least one (1) year from the RFP release date..." We understand this to mean that the solution must have been implemented and operational for at least one (1) year prior to the RFP release date. Because the RFP release date is August 19, 2013, the solution must have been implemented and operational on or prior to August 19, 2012. Will the State please confirm that this is correct?	Yes.
52	On Page 11 in RFP Overview, the section numbers and titles seem to be inconsistent with the Table of Contents and the actual content of the RFP. Please confirm that bidders should refer to Section IV Special Instructions to Offerors - Response Format, subsection B Required Proposal Format (pages 115-136) in structuring our response.	Yes, bidders should refer to Section IV Special Instructions to Offerors - Response Format, subsection B Required Proposal Format (pages 115-136) in structuring your response.

<p>53</p> <p>In Attachment C, Page 193 there are two (2) Requirements numbered the same as GL-41 (M), so there will be an additional requirement in the overall total. Can the State please clarify how the Bidders should address these two requirements?</p>	<p>The first requirement GL-41, which is the last requirement in the Table titled Global, is amended to be requirement GL-41.A. The second requirement GL-41, which is the first requirement in the table titled <b>System Administration (User Login, Roles and Profiles</b> is amended to be requirement GL-41.B.</p>
<p>54</p> <p>The RFP SOW states, "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." It also says, "Provide a disaster recovery approach and environment enabling restoration of operations within one (1) hour from the loss of processing capability (immediate failover)" Will the State please clarify the Recovery Time Objective and Recovery Point Objective in the event of a disaster? What is the timeframe for processing to be re-established and what is the acceptable data loss?</p>	<ol style="list-style-type: none"> <li>1. Critical services should be restored within an hour.</li> <li>2. Complete service catalog up in 8-hours: Interfaces, extended reports and non-critical functions.</li> <li>3. On a side note mitigating the frequency of these occurrences is important to limit business impact.</li> </ol>
<p>55</p> <p>In Attachment C, Page 197 under Business Rules Management, there is no category noted for GL-76. Is this requirement Mandatory or Desirable?</p>	<p>GL-76 is amended to show a category of M (Mandatory).</p>
<p>56</p> <p>Exhibit G provides a number of measures for 99.95% of uptime and 99.9599% of user availability which appear to conflict in that user availability is higher than total uptime. Can the State please clarify system and application availability SLAs?</p>	<p>The measure for user availability is amended to be 99.95%.</p>
<p>57</p> <p>For each interface required, what is the interface method, interface standard, number of entities using interface, inbound interface, outbound interface or two-way interface? Note: This question is broken out into individual questions below. ( we do have a formatted word document to submit if this would be more efficient to answer) Will the State please tell us the interface method needed (Batch, FTP or Real Time) for each AIMS interface listed in Attachment C? If a real time interface, is the preferred delivery a Web service, read access to the solution for outside users, or some other method? Will the State please tell us the desired standard for the data in each AIMS interface listed in Attachment C? Will the State please tell us if the interfaces listed in Attachment C will be inbound to the AIMS replacement system, outbound from the AIMS replacement system or two-way (inbound &amp; outbound)? Will the State please tell us the number of entities who will be recipients or providers of interface data for the interfaces listed in Attachment C? We can provide an interface table to simplify responses.</p>	<p>Included as Enclosure No. 1, are spreadsheets that are an approximation of the data elements for moving data between AIMS and Corizon/Marquee. An estimate 150 elements for health and a similar number for other interfaces should be expected. The goal is to have real-time data with direct database interactions, queuing, SFTP and batch.</p>

58	<p>Exhibit D - AIMS PC Application Matrix Line Item Numbers 2, 11, 12, 17, 18, 21 through 25, 27/8, 3</p>	<p>For each interface, what is the interface method interface standard, number of entities using interface inbound interface, outbound interface or two-way interface for the PC systems. Note: This question is broken out into individual questions below. (we do have a formatted word document to submit if this would be more efficient to answer) Will the State please tell us the interface method needed (Batch, FFP or Real Time) for each PC system interface listed in Exhibit D? If a real time interface, is the preferred delivery a Web service, read access to the solution for outside users, or some other method? Will the State please tell us the desired standard for the data in each PC system interface listed in Exhibit D? Will the State please tell us if the PC interfaces listed in Exhibit D will be inbound to the AIMS replacement system, outbound from the AIMS replacement system or two-way (inbound &amp; outbound)?</p>	<p>See response to Question 57.</p>
59	<p>For "Offeror References," the RFP instructs the offeror to "include a minimum of three (3) corporate references from three (3) separate projects during the last five (5) years" and that the "[r]eferences should be submitted on the form included in Attachment E." On the second page of Attachment E, in the instructions for the "Corporate Client Reference Form," offerors are instructed that "Only three (3) references should be submitted." May the offeror submit more than three or exactly three references to meet the requirement for "Offeror References"?</p>	<p>Corporate Client Reference Form is amended to read "a minimum of three (3) references should be submitted".</p>	
60	<p>May the prime offeror include references from major subcontractors that will be a part of its delivery team?</p>	<p>Yes. However, this does not substitute for the minimum requirements referenced in the RFP for the prime Offeror. Yes. Refer to I. A.</p>	
61	<p>The RFP says, "Offerors must meet the Basic Qualification Criteria specified in Section III.A.1"; and "Offeror meets the Basic Qualification Criteria in Section III"; and "Offeror meets the Basic Qualification Criteria stated in Section III.A.1"; however, the "Basic Qualification Criteria seem to only be defined in RFP Section I.A. Can the State please confirm that IV.B.2 and IV.A.5 and IV.B.5.b should all refer to I.A for the Basic Qualification Criteria?</p>	<p>Arizona is a "right to work state". Please refer to the State of Arizona website on labor standards.</p>	
62	<p>Have any of the required services been performed by unionized employees or are any the proposed services currently being performed by unionized employees?</p>	<p>Arizona is a "right to work state". Please refer to the State of Arizona website on labor standards.</p>	

63	The RFP says, "the following SLAs as finalized in contract may impact Contractor payment for M&O as specified in Section VI if not met"; however, no list follows. Please confirm that the SLA list referenced on page 132 is the same as the list on pages 154-155 of the RFP.	Yes, Section IV.B.7(d) is amended to read: "The SLAs provided in Exhibit G, as finalized in contract, may impact Contractor payment for M&O as specified in Section VI if not met."
64	Will ADC's project team be located at 1645 W Jefferson St., Phoenix, AZ?	The core project team is located at 1645 W. Jefferson St, Phoenix, AZ. The contractor however will be required to travel to other ADC locations statewide to conduct project activities as requested by ADC.
65	Does the State consider Canada 'offshore'; and if so, are they willing to accept a bid from a Canadian company?	The State does consider Canada offshore. ADC may accept an offer from a Canadian Company. However, all services under this Contract shall be performed within the borders of the United States in accordance with the RFP.
66	Does the State consider Canada 'offshore'; and if so, are they willing to accept a bid from a Canadian company?	See response to Question 65
67	In the Religious Services section of requirements (Page 229), there is discussion of faith-based food service needs sand dietary needs. Apart from identifying specific dietary needs, is there an expectation to track the meals themselves?	No need to track Religious means.
68	Page 233 CC-16: What is the 'PACT' program?	The RFP is amended to replace the fifth bullet in CC-16, "PACT program referrals," with "referrals from Community Corrections staff"
69	Page 234, CC-27: What are 'MDO or SVP referrals'?	'SVP' stands for "Sexually Violent Persons". 'MDO' stands for "Mentally Disturbed Offender".
70	Page 237, DA-14: Is this requirement expected to be a report that can be generated; or is this a clarification of legal requirements?	The requirement refers to data that the Solution must maintain to generate associated reports.
71	Page 237, DA-15: Are the ARS Codes and disciplinary violation codes available in an electronic format?	<a href="http://www.azleg.state.az.us/arizonarevisedstatutes.asp">http://www.azleg.state.az.us/arizonarevisedstatutes.asp</a>
72	In Section II, B, Page 13 and 14 of the RFP, there is information regarding ADC's Institutional facilities; however, there is no information about the Community Corrections facilities. Is it possible to get more information about the number of Community Facilities, types, etc.?	An updated EXHIBIT B has been provided as Enclosure No. 2. It includes community corrections facilities.
73	Page 243, T-18: Which version of NIEM justice standards applies to this requirement?	The Solution shall at all times meet the most current version of NIEM justice standards.
74	Page 243, T-19: Is this accurate in the context of T-18, which reads "where possible"?	The Solution must meet all data requirements of the most current version of NIEM justice standards unless otherwise approved by ADC.
75	Page 243, T-18: Which version of NIEM justice standards applies to this requirement?	SEE QUESTION #73
76	Page 243, T-19: Is this accurate in the context of T-18, which reads "where possible"?	SEE QUESTION #74

77	Questions 6-25: Is there a reason these aren't viewable on this website?	RFP & all attachments are viewable on ProcureAZ. Any technical related issues should be addressed with the ProcureAZ help desk. SEE QUESTION #1
78	Would the State consider providing a word version of Attachment C-14-025-23?	
79	The Bidder's Library is expected to be available no later than August 30, 2013. Will the State please confirm the library will be available today.	Answered via Solicitation Amendment No. 3
80	The Bidder's Library is expected to be available no later than August 30, 2013. Will the State please confirm the library will be available today.	Answered via Solicitation Amendment No. 3
81	We respectfully request a three (3) week extension to the proposal due date to October 16, 2013. This extension is required to provide a comprehensive proposal because the RFP has extensive requirements and significant time will be required to assess, modify and incorporate the responses to vendor questions (that will not be released until September 9, 2013) and the content of the Bidder's Library (which is not yet available). We are confident that this extension will benefit ADC in the form of high quality, well written, fully compliant proposals. We would appreciate a response to this request as soon as possible.	Answered via Solicitation Amendment No. 2
82	Page 8 – Section D – "Solution Ownership": The RFP states the "State will own all software that is designed, developed or enhanced as part of the services procured under this RFP." Does this mean any customizations (enhancement) made to a particular screen or report would result in that section of a vendor's code becoming State property? Since most screens/reports will require some amount of customization, this would result in most of the code becoming State property. Please clarify the scope of this statement.	Vendor's code will not become State's property. However, potential interface code will become State's property.
83	III. Scope of Work, C. Hardware and Software, Page 48: Please confirm that the reference to unlimited licenses applies only to the core OMS product and not other third party infrastructure and supporting commercial software packages (e.g. SQL Server).	Vendor is at liberty to express their pricing as they deem appropriate. The State is looking for a cost effective solution that can sustain over a 10-year period. Products that are not under direct control of the vendor should be cataloged as support products (database etc) with an estimate how changes in user count could impact those costs.

84	<p>IV. Response Format, B. Required Proposal Format, 10. Tab 10: Cost Schedules (Attachment D), Item d):          "Schedule B – Maintenance and Operations table multiplies the Annual Maintenance and operations cost by a total of seven years for evaluation purposes, and on page 135 of the RFP, The price for Maintenance and Operations shall be a single price for all seven (7) years of maintenance and operations. .... The Maintenance and Operations costs include a maximum of ten thousand (10,000) hours of modifications for each of the ten years of operations. (1) Should the Offeror assume that the 10,000 hours for modifications cost only be included in M&amp;O years 2017 – 2023? (2) Is this 10,000 annual hours only allocated for modification or does it also include other M&amp;O costs (maintenance, operations)? (3) The current Cost Schedule does not contemplate M&amp;O during years 1 thru 3. How should M&amp;O be represented in the Cost Schedule for modules implemented into production prior to year 4?"</p>	<p>(1) The Cost Schedules assume a single implementation, and M&amp;O costs apply to years following the implementation (estimated at 2017 – 2023). If The vendor proposes a different approach or schedule for implementation, it should be clearly identified in all parts of the proposal, including the Cost Schedules.          (2) The 10,000 annual hours refers only to hours allocated to modification.          (3) See the response to part (1) of this question.</p>
85	<p>VI. Government Procurement, C. Payment, 2. Payment for Maintenance, Operations and Modifications:          Page 153, What pass-through expenses does the ADC anticipate?          VI. Government Procurement, C. Payment, 2. Payment for Maintenance, Operations and Modifications:          Page 153, "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." This paragraph references Sections V and VII of the RFP for Modification Hours; however we cannot find Section VII. Will the State please clarify?</p>	<p>ADC has not identified any pass-through expenses. The Offerors should identify any proposed pass-through expenses in their response.</p>
86	<p>VI. Government Procurement, C. Payment, 2. Payment for Maintenance, Operations and Modifications:          Page 153, "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." This paragraph references Sections V and VII of the RFP for Modification Hours; however we cannot find Section VII. Will the State please clarify?</p>	<p>This statement is amended to read "Modification Services – Monthly Solution Maintenance and Operations payments will include costs for modification services provided within the Modification Hours defined in Sections IV and V of the RFP ..."</p>
87	<p>Can you please confirm the link on page 12 of the RFP. We are unable to access the Bidder's library based on the link provided on page 12 of the RFP in reference          (http://www.azcorrections.gov/adcd/divisions/adminservices/RFP_AIMsReplacement/RFP.pdf</p>	<p>Answered via Solicitation Amendment No. 3</p>
88	<p>Will the agency lift the offer or experience and size requirement to obtain a larger pool of responses from which to select the best system based the evaluation criteria beginning on page 137?</p>	<p>No.</p>
89	<p>Inmate Identification page 17 and page 45, table 2:          Who are the vendors for Live scan, Mugs hot (MPI), Digit-Web Scan, and OPPIS?</p>	<p>Morpho Trak is the vendor for Live Scan, Digi-Web Scan and OPPIS. ImageWare is the vendor for MPI and LeWeb</p>
90	<p>GL-11 page 188: Will the agency elaborate on the "...based on user specified criteria.?"</p>	<p>The vendor will finalize the definition of document and reference numbers in the requirements and design sessions.</p>

91	PR-14, page 222: Does the agency desire to store and track these cited scores or is the agency expecting the software to generate them?	Yes, so that the primary ranking can be determined.
92	CC-30, page 235: Will the agency please elaborate on "release packets"?	This requirement refers to the pre-release and release packets described in the Business Process Analysis Study Report in the Bidders' Library.
93	What is the Total Budget allowed for the project?	Budget is based on estimated available funding. Refer to Enclosure No. 3, JLBC Meeting Minutes dated August 20, 2013.
94	What has the Arizona Legislature authorized the ADC for this project.	See response to Question 93
95	Please identify where the source of funding will be coming from and amount and timeframes.	See response to Question 93
96	Reference Requirements: Please expand on the type of Corrections Reference Requirements.	Please refer to RFP for Reference Requirements
97	Reference Requirements: Will ADC consider other Government Correctional facilities?	Please refer to RFP for Reference Requirements
98	Will ADC consider an Extension of 30 days?	Answered via Solicitation Amendment No. 2
99	Help Desk, Page 95: What are the monthly help desk contact (voice/email) volumes broken out by incident and service request?	20-30 calls for Management and 50 calls for staff
100	"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." What is the criteria for releasing the 10% withhold for each required deliverable?	Completion of the milestone and the scheduled deliverable.
101	Exhibit G, Service Level Agreements, Page 180: Please provide the SLA calculation method for each SLA and the measurement periods associated with each SLA.	These calculation methods and measurement periods will be defined and finalized in the contract with the selected vendor.
102	Our experience is that there are significant benefits to having the State's project team co-located with the Vendor's Project Leadership Team. Can the ADC make space for 8-10 Vendor personnel at ADC's offices to utilize on a daily/regular basis?	No.

103	Attachment C, GI-76: Is this requirement Mandatory or Desirable?	See response to Question 55.
104	The government states, "It is the Offeror's responsibility to ensure that reference contacts (or a designated backup contact) are available during the evaluation period." Will the State please define the "evaluation period" so that offerors may make sure that the references are available?	Evaluation period begins after RFP closing date and ends prior to award date.
105	IV. Special Instructions to Offerors - Response Format, B. 2. Tab 2: Page 118, This section references that the Offeror must provide "An affirmative statement agreeing to the payment and retainage terms in Section IV of this RFP." There are no payment and retainage terms in the referenced section. Can the State please clarify?	The retainage section is in Section V, page. 152 of the RFP
106	Page 133, If we have identified additional critical positions to include as part of our delivery leadership team, may we propose these additional positions as Key Project Personnel and will ADC consider and evaluate these additional proposed Key Project Personnel?	Yes.
107	Page 154, 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 Offeror cannot find Table 8 in the RFP, can the State please clarify?	This statement is amended to read "... at the amounts proposed in Exhibit G of this RFP and finalized in the Contract." ALL REFERENCES TO TABLE 8 SHOULD BE IDENTIFIED AS EXHIBIT G
108	On pages 114, 117 and 121 of the RFP that reference "Basic Qualification Criteria specified in Section III.A or Section III". Will the State please confirm that the reference should be Section I.A Purpose of This RFP?	Yes. Refer to 1. A.
109	Page 132, Should the parenthetical reference in the following title, "Tab 8: Key Personnel and Project Staffing (Attachment E)" be Exhibit E?	Yes. Refer to Exhibit E
110	Page 152, The section states, "This list represents each and every payment deliverable for all activities described in Section V." Is the reference to Section V correct?	No. Please refer to Section III of the RFP
111	Page 153, The section states, "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." We cannot locate section VII of the RFP. Please confirm that these references are correct.	The RFP is amended to read: "Monthly Solution Maintenance and Operations payments will include costs for modification services provided within the Modification Hours defined in Sections IV.B, 10, V.C., VI.C and Attachment D of the RFP."

112	<p>Page 11, The section references "Section IV--Evaluation Criteria and Contractor Selection," however in the document Section IV is stated as Special Instructions to Offerors - Response Format. Will the State please clarify?</p>	<p>Page 11, bullets 4, 5 and 6 of the RFP are amended to read:</p> <ul style="list-style-type: none"> <li>Section IV – Special Instructions to Offerors – Response Format: details the required format for Contractor responses, including required forms and submission requirements for proposals.</li> <li>Section V – Special Terms and Conditions: lists terms and conditions that apply specifically to this procurement.</li> <li>Section VI – Government Procurement E-Verify Requirement A.R.S. §41-4401: Arizona E-Verify requirements as well as other terms and conditions that apply to this procurement.</li> </ul>
113	<p>Page 8, The section states, "Offerors must complete the required forms and submit them with their proposal according to instructions in Section V of the RFP," however no instructions are found in section V, should this reference be to Section IV, Special Instructions to Offerors- Response Format?</p>	<p>Yes, Page 8 of the RFP is amended to read: "Offerors must complete the required forms and submit them with their proposal according to instructions in Section IV of the RFP."</p>
114	<p>Page 11, The section references Section VI - Special Terms and Conditions. " however in the document Section VI is stated as Government Procurement E-Verify Requirement A.R.S. 41-4401. Will the State please clarify?</p>	<p>See response to Question 112</p>
115	<p>Page 261, The Key Personnel reference form states, "The Offeror is required to provide information on three (3) customers for all individuals who are considered key personnel as defined in Section V." Will the State please confirm the reference to Section V is correct?</p>	<p>Attachment E of the RFP is amended to read: "The Offeror is required to provide information on three (3) customers for all individuals who are considered key personnel as defined in Section IV."</p>
116	<p>Page 131-132, The section states, "In this section Offerors shall describe their approach to meeting the SLAs and KPIs for the areas shown in Attachment G." Should the reference be to Exhibit G?"</p>	<p>Yes. This statement is amended to read: "....the SLAs and KPIs for the areas shown in Exhibit G."</p>
117	<p>Will ADC users initially call a State help desk for support and then the call is transferred to the vendor's help desk after the problem has been triaged by the State or will the calls from ADC users go directly to the vendor's help desk?</p>	<p>First State helpdesk then escalate to vendor.</p>
118	<p>1. Please explain the technologies used in the existing AIMS. Please address the following: a. Size of the database (in GB or terabytes) b. # of records for major tables; e.g. Arrests, Cases, Offenders, etc. c. # of Active Cases d. # of Inactive Cases</p>	<p>The size of the AIMS PRODUCTION IMS databases is 21,250,000,000 bytes. This figure does not include any DASD and TAPE files used in batch processing. We presently have approx. 40,000 active inmates stored in AIMS and approx. 200,000 inactive also stored in AIMS. We also have approx 165,560 active and inactive inmates in Community Corrections stored in AIMS. AIMS has 21 databases, each having a primary index. There are also 49 secondary indexes in total to access the IMS data.</p>

119	2. Please provide a breakdown of the 5,600 users by roles they will perform on the system.	There are approx. 5500 users, of which are officers (65%), administrators (25%) & business staff (10%).
120	ADC provided the number of users – please define in terms of % in expected growth per year on the user count for the next 5 years.	ADC estimates the growth rate for users. Maybe 1-2% per year.
121	Deliverables: Custom Solutions vs. COTS - For some of the deliverables, it appears that it assumes custom development. But since we are a COTS vendor, we already have User Documentation, Design Specifications, etc. For any customization, we understand that the deliverables indicated will apply. But for existing COTS functionality, we already have documentation we will provide. In addition, the RFP mentioned Unit Test Results. Our COTS already exists – so Unit Test Results no longer apply for the features we have in our COTS. Please explain what deliverables apply to COTS vendors who respond to your RFP.	The State desires a COTS system; however, the nature of the application does not lend itself exclusively to a COTS delivery. If the vendor specific Application modules are not modified (in any way in terms of input and/or output) then existing vendor Unit Testing can be used to bench mark the system. However, these “unmodified” modules will be part of formal system testing with sufficient detail to verify branches with given input conditions, with outputs defined for inputs.
122	On Page 39-40, the RFP mentioned ad-hoc reporting. Please explain the tasks/deliverables ADC is expecting from the vendor related to ad-hoc. Please also explain the ad-hoc tool expected to be used or being used at ADC.	Reporting and Data Analysis requirements are included as requirements DA-1 through DA-15 in Attachment C. Users have a process in which they can request a batch report for whatever type of request is desired. They are broken down into sub-groups and can be requested by any user. AIMS will submit a batch job via a CICS transaction from the user and produce the requested report in a PDF document which is then sent to the user via email. We also produce reports for a user NOT listed on the sub-groups. These are written expressly for an ad-hoc request and delivered in an emergency situation. This happens on a regular basis. Sometimes we convert these ad-hoc reports into the sub-groups as a regular requested report.
123	Please provide a list of reports and samples of the reports that will need to be replaced.	This information is available in the Bidders' Library.
124	Please provide a list of forms and samples of forms that are expected to be generated through the new AIMS.	Information on current reports and forms to be generated are included in the Bidders' Library. New reports and forms are identified in the requirements in Attachment C. Additional reporting requirements and details will be defined during requirements and design sessions with users.
125	On Page 40, Document Image Attachment was mentioned but the RFP was not clear on expectations from the vendor regarding Document Image Attachment. Please explain and define.	See requirements DM-1 through DM-10 in Attachment C.
126	In Exhibit D, when it states: "Need to confirm this functionality is provided by Solution before this system can be retired", please explain if this is a mandatory requirement or not.	Yes, the vendor must determine whether its proposed Solution fully meets the functionality provided by the application before final determination that it can be retired and an interface will not be required. This process will be conducted during the requirements and design sessions with ADC users.

127	<p>In Exhibit D, for each of the systems that says "Interface" (One or more interfaces are expected between the listed system and the Solution), please provide the following: a. Technology b. Data being exchanged, rules for the exchange (if any), frequency of the exchange c. Size of the data being exchanged (GB or # of records for tables being exchanged)</p>	<p>This information is provided in the AIMS Interface Documentation in the Bidders' Library.</p>
128	<p>In Exhibit D, for each of the various source systems where "Yes" appears in the Conversion Needed column, please provide the following: a. Technology (language, database, servers, protocols, etc.) b. Size of the database (in GB or terabytes) c. # of records for major tables; e.g. Arrests, Cases, Offenders, etc. d. # of Active Cases e. # Inactive Cases</p>	<p>This information is provided in the Bidders' Library.</p>
129	<p>In Exhibit D, where it states "Retire and Interface" in the Impact column, for each one, please explain why an interface needs to be developed if the system is being retired?</p>	<p>"Retire and Interface" is required for those applications that are Retire Partially or Retire Early. Although some of the functionality will be included in the Solution, an interface may also be required for a limited or ongoing time period. This will be finalized during requirements and design sessions with the ADC users.</p>
130	<p>Please provide explanation on when the % Withhold applies and on what amount it refers to on Exhibit G.</p>	<p>See Section VI.C.3, which is amended to include the following statement:          "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."</p>
131	<p>On Exhibit G, the Agreement Levels provided on the items are not sufficient. (For example, System Response is determined by many different factors which are not even mentioned in Exhibit G. If ADC is not going to provide any more definition, can we provide a better definition that is measurable and fair?)</p>	<p>Vendors may propose alternate definitions for SLAs. SLAs will be finalized and incorporated into the contract with the selected vendor.</p>
132	<p>When will we be able to obtain Attachment B, Required Contractor Response Forms? This document is currently blank, both in the RFP and as in the download file on procure.az.gov.</p>	<p>This section (Attachment B) is intentionally left blank and requires no response from the Offeror.</p>
133	<p>Is the State expecting a 36 month implementation schedule?</p>	<p>This RFP assumes implementation of the Solution by June 30, 2016. Vendors may propose alternate schedules. The schedule will be incorporated into the contract with the selected vendor.</p>
134	<p>What resources does the State have to allocate to this project? Please list titles, quantities and expertise/skill set.</p>	<p>ADC has formed a core project team to participate in all phases of this project. The team will be supplemented by additional resources as needed.</p>

135	Exhibit D Questions a. Can the State please designate the titles in Exhibit D? b. Can the State please list where duplicates exist between systems in Exhibit D that will require conversion?	Duplicates have not been identified or understood however, analysis of the PC applications including conversion and interface requirements will be conducted during the requirements and design sessions with ADC users.
136	In Attachment C, there are two requirements numbered GL-41. Are the remaining GL requirements to be renumbered to correct this issue?	See response to Question 53.
137	In Attachment C, should there be an M or D in the Cat. column for GL-76? (Currently blank)	See response to Question 55.
138	In Attachment C, requirement T-11 states that the proposed solution shall use TCP/IP for all network communication; requirement T-12 states that the proposed solution shall use SSL for all network communications. Could you please clarify?	Referencing CISCO IOS Model, Layer 3/4 defines TCP/IP. Layer 4 also defines SSL; thus, replacing the TCP for data encryption purposes. The vendor can also suggest at what part of the network the data becomes encrypted.
139	RFP Reference: AIMS_RFP-Final-SOW-SIO-STC, Section I C - Approach to Implementation, Page 7: RFP States "ADC plans to implement all Solution functionality simultaneously at a single Arizona State Prison Complex." Is it acceptable for an Offeror to propose an alternative implementation approach with an initial deployment of the COTS base functionality in order to perform detailed walk throughs of existing functionality, and then subsequent releases? We believe that this approach will offer a lower risk approach to implementation and meet the ADC's goals of legacy system retirement.	ADC prefers to deploy full functionality at one complex for the purpose of piloting a complete system and will evaluate the proposal approach. If a "COTS base functionality" is rolled out to all complexes, a risk could occur that causes re-programming to a more significant user base than if done at a single prison complex. This would have a greater negative impact on ADC.
140	AB1-General question: The RFP identifies September 5th as the deadline for vendors to address any questions in regards to the content of the RFP. Can the state identify when the vendors should expect a response to the submitted questions?	Responses to questions will be released through solicitation amendment
141	AB2- General question: Will the state allow additional vendor questions to be submitted past the September 5th RFP deadline, allowing for clarification of, or follow-up to, answers posted in response to questions submitted on or before September 5th? If so, what is the process vendor should follow in order to submit these additional questions?	No additional questions may be submitted.
142	AB3-General question: In reference to the requirements that were supported by the bidders' library, should the bidder's library not be made available, will vendors be provided examples and reference material to clarify the states' requirements?	Information is available in the Bidders' Library.
143	AB4.P.12: As of September 4th, the identified bidder's library link has yet to be available for vendor consultation and reference. Based on the table of contents its content is critical to the complete understanding and validation of the state's specified solution requirements. Can the state comment as to when this link will be available, or provide a valid link to access the library? Furthermore, until the Bidders' library is made available, can the state allow for an extension to the current deadline for RFP	Answered via Solicitation Amendments No. 2 & 3

144	AB5: In reference to the requirements that were supported by the bidders' library, should the bidder's library not be made available, will we be provided examples and reference material to clarify the states' requirements?	Information is available in the Bidders' Library.
145	AB6-Item E of section VI - p. 154: Can the state please clarify which aspects of the software solution Arizona intends to obtain proprietorship of, as well as provide the specific aspects this proprietorship may entail, including but not limited to vendor-owned COTS software products, and ownership in regard to all software customizations made to the vendor's internal code as part of the work done for this project.	External interfaces shall remain the property of ADC. For example, interfaces shall include but not be limited to the Electronic Health Record. The Core Application and the associated intellectual property shall remain with the vendor unless Escrow is invoked.
146	AB7 - Item E of section VI - p. 154: Can you please clarify whether the State intends to render the vendor's delivered software solution as part of the public domain?	See response to Question 145
147	AB8 - Item F of section VI - Solution ownership p. 154: Can the state please confirm that an Offeror, whose primary project location is within the United States, may utilize Canadian-based resources to support the DDI work, understanding that all data and application hosting must remain in the USA?	See response to Question 65
148	Tab 16: p. 136 and p. 140- Bid Bond: The state specifies the following options in regards to the Bid Bond in the amount of \$50,000.00: certified, cashier's check or an irrevocable letter of credit payable to ADC is accepted. In reference to the Special Terms & Conditions section pertaining to Performance/Payment bond; may the vendor assume that the same options apply to the Performance/Payment bond? In other words, will the state also accept an irrevocable letter of credit issued to ADC, renewable each year until one year after the solutions acceptance, and based on 100% of the DDI price as proposed in schedule C and approved in contract?	The Performance guarantee may be a Performance/Payment Bond or an irrevocable letter of credit issued to ADC for the entire period of DDI plus 1 additional year after the solutions acceptance. Therefore, a one year renewable irrevocable letter of credit is not acceptable.
149	AB10-Attachment D for Item R. (p.136 & 254): In the same paragraph referenced in the question above, can the state please confirm that vendors are to understand that the RFP should read " the amount required for the performance bond is based on 100% of the DDI price as proposed in Cost schedule A: Cost Summary and approved in the contract (as opposed to Cost Schedule C which is titled Modification Activities blended hourly rate for period 2017 to 2023)	Yes, the performance bond is based on 100% of the DDI price as proposed in Cost schedule A: Cost Summary and approved in the contract
150	AB11 - Discipline (p.219)_Requirement DI-10: Can the state please identify the business rules and processes surrounding the creation of supplemental reports? If possible, please provide an example of a supplemental report	See response to Question 30. Supplemental reports will be defined and finalized during requirements and design sessions with ADC users
151	AB12 - (no page reference): Can the state please clarify how the ADC intends to connect to OMS ? (ex. via internet, private network VPN)	Both solutions shall be considered. Vendor shall propose a method for secure communications.

152	AB13- (no page reference): Can the state please clarify how the ADC intends to connect to OMS ? (ex. via internet, private network VPN)	See response to Question 151
153	AB14 - Workflow management Requirements GL-48, GL58, GL-67, and GL-76 (p. 194): Can the state please provide specific business examples in regards to these requirements?	These requirements refer to standard workflow functionality. Details will be defined in requirements and design sessions with ADC users.
154	AB15 - Performance_ Requirements TL-32 (p.254): Can the state please provide the maximum number of expected concurrent users at each location and the existing bandwidth at each location	Peak volume of user activity is usually between 6am and 6pm MST Monday-Friday. Expect 4,000 users are online between these hours statewide.
155	AB16 - (p. 140): In this paragraph, can the state please confirm that vendors are to understand that the RFP should read " DDI Services (Cost schedule A) Maintenance and operations (Cost schedule B). Additional modifications shall be priced at the hourly rates provided in Cost Schedule C)." "	This is amended to read: <ul style="list-style-type: none"> <li>• "DDI Services (Cost Schedule A)</li> <li>• Maintenance and operations (Cost Schedule B)</li> </ul> Additional modifications shall be priced at the hourly rates provided in Cost Schedule C."
156	AB17- Tab 9 (p. 134):In this paragraph, can the state please confirm that vendors are to understand that the RFP should read " the offeror's approach in Section IV.7" (as opposed to Section V.7)	The RFP is amended to read: "Any proposed delayed implementation of functionality of phasing of implementation must be fully supported in the discussion of the Offeror's approach in Section IV.7..." "
157	AB18 -(no page reference): There is no reference to Change Management requirements. Can the state please confirm this aspect of the project will be handled by ADC itself or by a third party?	Change management responsibilities, deliverables and requirements are specified in Section III.D.10
158	AB19 - Data Cleanup (p.69): Can the state please confirm that data cleanup falls under the contractors' entire responsibility? Does this mean that the contractor will need to modify ADC production data within AIMS, as well as any other legacy system and PC applications?	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. It is the vendor's responsibility to: <ul style="list-style-type: none"> <li>• Provide technical assistance to ADC and participate in resolution and preparation of "clean" data for the conversion process</li> <li>• 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."</li> </ul>
159	AB20 -Data conversion description (p.67) Can the state please provide additional precisions as to ADC historical reporting needs? How many years of historical data should be converted?	All AIMS and related data is to be converted; this includes the historical data.

## **Enclosure No. 1**

(Response to Question No. 57)

**DORS04AA**  
**Inmate Information**

Data Element	Description	Type	Value	Format
CIDORNUM	Offender Identification Number <b>KEY</b>	A	6	
CIINSTAT	<u>Inmate Status Code</u>	A	1	
CICLSTNM	Current Committed Last Name	A	20	
CICFSTNM	Current Committed First Name	A	11	
CICMIDIN	Current Committed Middle Initial	A	1	
CICSUFIX	Current Name Suffix	A	3	
CICLSEX	<u>Sex Code</u>	N	1	
CICLRACE	<u>Race Code</u>	N	1	
CICLBRTH	Date Of Birth	N	8	Cent/Year/Month/Day
CIRADMDT	Current Incarceration Begin Date	N	8	Cent/Year/Month/Day
CITOTSNT	Total Sentence Length	SCN	6	Days
CIOLDPFX	Oldest Commitment ID of Current Incarceration	A	1	
CIOLCNT	Oldest Count	A	2	
CIPREFX2	Active Commitment Identifier	A	1	
CIACTCMP	Active Count ID	A	2	
CIETHNIC	<u>Cultural-Ethnic Affiliation</u>	N	2	
GIRPRXDT	Latest Projected Release Date	N	8	Cent/Year/Month/Day
CIGTLAW	<u>Sgt. Law Used to Calculate Prd.</u>	N	1	
CIXCALDT	Date Prd. Last Recalculated	N	8	Cent/Year/Month/Day
CIIMGOOD	Internal Movement Active Flag	A	1	
CILAMVRS	<u>Reason For Last Movement</u>	A	2	
CVISFLAG	Visitation Flag	A	1	
CISHOCK	Shock Incarceration Flag	A	1	
CISEXCRI	Sex Offender Crimes	A	1	Empty Table
CISERDET	<u>Serious Detainer Flag</u>	A	1	
CIMEDHLD	Permanent Medical Hold	A	1	
GILPRDTF	Last Projected Release Date Flag	A	1	
CIGURLOC	<u>Current Location Code</u>	A	3	
CILAMVDT	Date of Last Movement	N	8	Cent/Year/Month/Day
CILAMVTY	<u>Type of Last Movement</u>	N	2	
CIOTHLOC	<u>Other Location Code</u>	A	3	
CICURTRN	Date of Most Current DV	N	8	Cent/Year/Month/Day
CILPENDT	Date of Last Out-Time	N	8	Cent/Year/Month/Day
CIINMDOE	Date Inmate Segment Last Updated	SCN	5	Julian Date
CIINMOID	Operator Updating Inmate Information Segment	A	3	
CIINMTRM	Terminal Updating Inmate Information Segment	A	4	
CICCLASS	<u>Current Custody Class Code</u>	A	3	
CILMTSTF	Latest Education meets Standard Flag	A	1	
CIADMTYP	<u>Initial Movement Type / Current Incarceration</u>	A	2	
CIINMTYP	<u>Type of Inmate Code</u>	A	1	
CICLINIT	Latest Initial Classification Date	N	8	Cent/Year/Month/Day
CISUFIX	<u>Current Committed Suffix</u>	A	1	
FILLER	Filler	A	1	
CICIULKP	CIU Investigative Lockup Flag	A	1	
CIADMREG	Administration Region	A	1	
CIBEDID	Bed Information			
.CIBLDGNO	Building Number	A	4	
.CIBEDNUM	Bed Number	A	4	
CIXCALOP	Operator ID For Last Release Date Calculation	A	3	
CICMTFLG	<u>Incomplete Commitment Code</u>	A	1	
CICOMTYP	<u>Audit Comment Type</u>	N	2	
CIAUDIT	Date Record Last Audited	N	8	Cent/Year/Month/Day
CVREVDTE	Inmate Visitation Review Date	N	8	Cent/Year/Month/Day
CIDNADTE	DNA Testing Date	N	8	Cent/Year/Month/Day
CIFINRUL	Final Ruling Commitment			
.CIFINPFX	Final Ruling	A	1	
.CIFINCNT	Final Ruling Commitment	A	2	
CIBEDFAC	BedID, Buliding Number, BedNumber	A	3	
CIMEDMLT	Multi-Purpose Holds	A	1	

**DORS04AA**  
**Inmate Information**

CISPECED	<u>Special Education Flag for People Under 22 Years Old</u>	A	1 A thru F
CIFPVERID	Fingerprint Verification Staff ID	A	4 NOW ON DORS03BH D'
CIFPVERDT	Fingerprint Verification Date	A	8 Cent/Year/Month/Day
CIFPVERD2	Fingerprint Verification Date 2	A	8 Cent/Year/Month/Day
QNAMELOC	Secondary Index - Name Within Location		
.CICURLOC	Current Location Code		
.CICLSTNM	Current Committed Last Name		
QIXFCFAC	Secondary Index		
.CICURLOC	Current Location Code		
.CIDORNUM	Offender Identification Number		
XVISFLAG	Secondary Index - Visitation Flag		
.CICURLOC	Current Location Code		
.CIDORNUM	Offender Identification Number		

Data Element	Description	Type
CR-DORNUM	Inmate Number	N
CR-DELETE-FLAG	Delete	A
CR-CREATE		
CR-CREATE-DATE	Date Record Created	A
CR-CREATE-TIME	Time Record Created	A
CR-CREATE-DCNBR	DC Number Signed on to System With	A
CR-UPDATE		
CR-UPDATE-DATE	Date Record Updated	A
CR-UPDATE-TIME	Time Record Updated	A
CR-UPDATE-DCNBR	DC Number Signed on to System With	A
CR-SEX-STATUS-COMMENT	Sex Offense Comment	A
CR-SCREEN-SEX-CMT-KEY		
CR-SEX-COMMENT-DI97	Comment from DI97 Screen	A
CR-SEX-COMMENT-DATE	Date Sex Comment Made	A
CR-SEX-COMMENT-TIME	Time Sex Comment Made	A
CR-MANSLAUGHTER-DUI	manslaughter dui indicator	A

**Value**            **Format**

6  
1 Y or N

8 MMDDCCYY  
8  
8

8 MMDDCCYY  
8  
8  
1 Y or N

4 DI97  
8 MMDDCCYY  
8  
1 N P Y Z U

Data Element	Description	Type
COM-SEG-FIXED-AREA		
COM-SEG-LENTH		SCN
COM-SEG-KEY		
COMSTAMP		A
COM-SECONDARY-KEY		A
COM-CREATE-DATE	Comment Creation Date	A
COM-CREATE-TIME	Comment Creation Time	A
COM-CREATE-DCNBR	DC Number Signed on to System With	A
COM-UPDATE-DATE	Comment Update Date	A
COM-UPDATE-TIME	Comment Update Time	A
COM-UPDATE-DCNBR	DC Number Signed on to System With	A
COM-COMMENT-DATA-LENGTH		SCN
COM-SEG-VARIABLE-AREA		
COM-COMMENT-DATA		
COM-COMMENT-CHAR		A

Value	Format
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4	
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24	
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51	
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8	CCYYMMDD
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8	
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8	
---	--

8	CCYYMMDD
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8	
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8	
---	--

5	
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Occurs 1 to 1343  
Depending on COM-  
COMMENT-DATA-  
LENGTH Indexed by  
1 COM-IDX

Data Element	Description	Type	Value	Format
IHDORNUM	Corrections Plan Input Number	A	6	
IH-DELETE-FLAG	Delete Flag	A	1	
	ACTIVE			Spaces
	DELETED			D
	DISCARDED			Z
IH-CREATE				
IH-CREATE-DATE	Date Record Created	A	8	CCYYMMDD
IH-CREATE-TIME	Time Record Created	A	8	HHMMSSNN
IH-CREATE-DCNBR	DC Number of Staff Who Created Record	A	8	
IH-UPDATE				
IH-UPDATE-DATE	Date Record Updated	A	8	CCYYMMDD
IH-UPDATE-TIME	Time Record Updated	A	8	HHMMSSNN
IH-UPDATE-DCNBR	DC Number of Staff Who Updated Record	A	8	
IH-CURR-PSYCH-DOCTOR	Current Psychiatric Doctor	A	4	
IH-CURR-MED-DOCTOR	Current Medical Doctor	A	4	

## **Enclosure No. 2**

(Response to Question No. 72)

# EXHIBIT B

## Arizona State Prisons and Community Corrections Facilities

<b>ARIZONA STATE PRISONS</b>	
Arizona State Prison Complex – Douglas (ASPC-D)	
<u>Physical Address</u> 6911 North B.D.I. Blvd. Douglas, Arizona 85608	<u>Mailing Address</u> P.O. Drawer 3867 Douglas, Arizona 85608-3867
Arizona State Prison Complex – Douglas/Papago (ASPC-D/Papago)	
<u>Physical Address</u> 25 16 <sup>th</sup> Street Douglas, Arizona 85607	<u>Mailing Address</u> P.O. Box 5005 Douglas, Arizona 85608-5005
Arizona State Prison Complex – Eyman (ASPC-E)	
<u>Physical Address</u> 4374 East Butte Avenue Florence, Arizona 85232	<u>Mailing Address</u> P.O. Box 3500 Florence, Arizona 85232-3500
Arizona State Prison Complex – Florence (ASPC-F)	
<u>Physical Address</u> 1305 East Butte Avenue Florence, Arizona 85232	<u>Mailing Address</u> P.O. Box 629 Florence, Arizona 85232-0629
Arizona State Prison Complex – Lewis (ASPC-L)	
<u>Physical Address</u> 26700 South Hwy 85 Buckeye, Arizona 85326	<u>Mailing Address</u> P.O. Box 70 Buckeye, Arizona 85326
Arizona State Prison Complex – Perryville (ASPC-PV)	
<u>Physical Address</u> 2014 North Citrus Road Goodyear, Arizona 85338-0901	<u>Mailing Address</u> P.O. Box 3000 Goodyear, Arizona 85338-0901
Arizona State Prison Complex – Phoenix (ASPC-Phoenix)	
<u>Physical Address</u> 2500 East Van Buren Street Phoenix, Arizona 85008	<u>Mailing Address</u> P.O. Box 52109 Phoenix, Arizona 85072-2109
Arizona State Prison Complex – Florence/Globe (ASPC-F/Globe)	
<u>Physical Address</u> 1000 Fairgrounds Road Globe, Arizona 85501	<u>Mailing Address</u> P.O. Box 2799 Globe, Arizona 85502-2799
Arizona State Prison Complex – Safford (ASPC-S)	
<u>Physical Address</u> 896 South Cook Road Safford, Arizona 85546	<u>Mailing Address</u> P.O. Box 2222 Safford, Arizona 85548-2222
Arizona State Prison Complex – Safford/Fort Grant (ASPC-S/FG)	
<u>Physical Address</u> 15500 South Fort Grant Road Spur Route 266 & Curtis Parkway Fort Grant, Arizona 85644	<u>Mailing Address</u> P.O. Box 4399 Ft. Grant, Arizona 85644-4000
Arizona State Prison Complex – Tucson (ASPC-T)	
<u>Physical Address</u> 10000 South Wilmot Road Tucson, Arizona 85734	<u>Mailing Address</u> P.O. Box 24400 Tucson, Arizona 85734-4400

Southern Regional Community Correctional Center (SRCCC) 1275 West Star Pass Boulevard Tucson, Arizona 85713	
Arizona State Prison Complex – Winslow (ASPC-W)	
<u>Physical Address</u> 2100 South Highway 87 Winslow, Arizona 86047	<u>Mailing Address</u> Same
Arizona State Prison Complex – Winslow/Apache (ASPC-W/Apache)	
<u>Physical Address</u> 38322 U.S. Highway 180 St. Johns, Arizona 85936	<u>Mailing Address</u> P.O. Box 3240 St. Johns, Arizona 85936-3240
Arizona State Prison Complex – Yuma (ASPC-Y)	
<u>Physical Address</u> 7125 East Juan Sanchez Blvd. San Luis, Arizona 85349	<u>Mailing Address</u> P.O. Box 13004 Yuma, Arizona 85366-3004

## PAROLE SERVICES

<b><u>Central Regional Parole Office</u></b> 801 S. 16 <sup>th</sup> Street, Suite 1 Phoenix, Arizona 85034	<b><u>Southern Regional Area</u></b> <b><u>Pinal Regional Parole Office</u></b> ASPC-Florence 1305 East Butte Avenue Florence, Arizona 85231
<b><u>Mesa Regional Parole Office</u></b> 460 N. Mesa Drive, Suite 211 Mesa, Arizona 85210	<b><u>Safford Regional Parole Office</u></b> ASPC-Safford 860 Cook Road Safford, Arizona 85546
<b><u>Western Regional Parole Office</u></b> 801 S. 16 <sup>th</sup> Street, Suite 1 Phoenix, Arizona 85034	<b><u>Yuma Regional Parole Office</u></b> ASPC-Yuma 7125 E. Juan Sanchez Blvd. Yuma, Arizona 85349
<b><u>Northeastern Maricopa Parole Office</u></b> 801 S. 16 <sup>th</sup> Street, Suite 1 Phoenix, Arizona 85034	<b><u>Cochise Regional Parole Office</u></b> ASPC-Douglas 6911 N. BDI Blvd. Douglas, Arizona 85607
<b><u>Greater Tucson Area</u></b> <b><u>Tucson Regional Parole Office</u></b> 1275 W. Starr Pass Blvd. Tucson, Arizona 85713	<b><u>Northern Regional Area</u></b> <b><u>Snowflake Parole Office</u></b> 235 S. Main Street Snowflake, Arizona 85937
<b><u>Southern Regional Parole Office</u></b> 1275 W. Starr Pass Blvd. Tucson, Arizona 85713	<b><u>Prescott Valley Parole Office</u></b> 3001 N. Main Street, Suite 2C Prescott Valley, Arizona 86301
	<b><u>Flagstaff Parole Office</u></b> 323 San Francisco St. Suite 101 Flagstaff, Arizona 86001
	<b><u>Kingman Parole Office</u></b> 1865 Airfield Avenue Kingman, Arizona 86401

## **Enclosure No. 3**

(Response to Question No. 93)



STATE OF ARIZONA

# Joint Legislative Budget Committee

STATE  
SENATE

1716 WEST ADAMS  
PHOENIX, ARIZONA 85007

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HOUSE OF  
REPRESENTATIVES

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ADAM KWASMAN  
DEBBIE LESKO  
STEFANIE MACH  
JUSTIN OLSON  
MICHELLE UGENTI

## MINUTES OF THE MEETING

### JOINT LEGISLATIVE BUDGET COMMITTEE

August 20, 2013

The Chairman called the meeting to order at 1:02 p.m., Tuesday, August 20, 2013, in House Hearing Room 4. The following were present:

Members:	Representative Kavanagh, Chairman	Senator Shooter, Vice-Chairman
	Representative Gowan	Senator Cajero Bedford
	Representative Kwasman	Senator Griffin
	Representative Lesko	Senator McComish
	Representative Olson	Senator Melvin
	Representative Ugenti	Senator Pancrazi
		Senator Tovar
Absent:	Representative Alston	Senator Yarbrough
	Representative Mach	

### APPROVAL OF MINUTES

Hearing no objections from the members of the Committee to the minutes of June 11, 2013, Chairman John Kavanagh stated that the minutes would stand approved.

### ARIZONA DEPARTMENT OF ADMINISTRATION (ADOA) - Automation Projects Fund

#### A. ADOA - Review of ASET Projects.

Mr. Ben Henderson, JLBC Staff, stated that this item is for review of a \$3.5 million expenditure plan from the Automation Projects Fund for information technology (IT) projects for the Arizona Strategic Enterprise Technology (ASET) Office in ADOA.

Mr. Aaron Sandeen, Deputy Director, Arizona Department of Administration addressed the Committee.

*Senator Shooter moved that the Committee give a favorable review of the FY 2014 \$3.5 million expenditure plan from the Automation Projects Fund for information technology (IT) projects for the Arizona Strategic Enterprise Technology (ASET) Office in ADOA. The \$3.5 million includes:*

(Continued)

- *Project Management* \$1,700,000
- *Security, Privacy and Risk* \$900,000
- *Enterprise Architecture* \$600,000
- *E-Government* \$325,000

The motion carried.

**B. ADOA/Arizona Department of Corrections - Review of Adult Inmate Management System.**

Mr. Ben Henderson, JLBC Staff, stated that this item is for review of an \$8.0 million expenditure plan from the Automation Projects Fund for information technology (IT) projects to replace the Adult Inmate Management System at the Arizona Department of Corrections.

Mr. Aaron Sandeen, Deputy Director, Arizona Department of Administration responded to Committee questions.

Mr. Michael Kearns, Administrative Director, Department of Corrections, responded to Committee questions.

Mr. Jonathan Taylor, Vice President, Public Consulting Group, responded to Committee questions.

*Senator Shooter moved that the Committee give a favorable review of the \$8.0 million FY 2014 expenditures from the Automation Projects Fund for information technology (IT) projects to replace the Adult Inmate Management System at ADC with the following provisions:*

1. *The Request for Proposal (RFP) for the proposed system shall only be issued upon agreement between ADC and ASET regarding the technology requirements and evaluation process identified in the Statement of Work.*
2. *ADC may not award the solicitation until an updated Project Investment Justification (PIJ) reflecting the results of its evaluation, including the selected technology approach, scope of work, implementation schedule, and detailed itemization of the development and operational costs for the project, has been submitted for review to ASET and approved by the Information Technology Authorization Committee (ITAC), in Executive Session if applicable.*
3. *ADC shall retain the services of the vendor currently engaged as an Independent Advisory Consultant (IAC) to assist in the development of the RFP, for the duration of the solicitation process. Costs to retain the current vendor, or other qualified vendor, as an IAC for the duration of the project, must be reflected in the updated PIJ.*

The motion carried.

**C. ADOA/Arizona Department of Education (ADE) - Review of Arizona Education Learning and Accountability System.**

Mr. Ben Henderson, JLBC Staff, stated that this item is for review of a \$3.4 million expenditure plan from the Automation Projects Fund for 3 projects related to the Arizona Learning and Accountability System (AELAS) at the ADE.

*Senator Shooter moved that the Committee give a favorable review of the \$3.4 million FY 2014 expenditure plan from the Automation Projects Fund for 3 projects related to the development of AELAS at ADE. The 3 projects include:*

(Continued)

- *AELAS - Education Data Fidelity (Ed-Fi)* \$1,600,000
- *Program Support Office* \$1,000,000
- *AELAS - School Finance Automation* \$800,000

*In addition, the Committee added the following provisions as part of its review:*

1. *ADE may proceed with the assessment phase of the AELAS "Education Data Fidelity" project to determine the data collection requirements, business processes, technical approach, and legal requirements to implement a compliant student data store. Costs are not to exceed \$630,000 for the assessment phase, and ADE may not proceed with additional development efforts, until a full PIJ reflecting the technology, scope of work, costs and implementation schedule for the proposed solution has been submitted to ASET and ITAC for review and approval.*
2. *ADE must present information to ITAC regarding an upcoming Organization Entity Management PIJ, as a component of the AELAS Education Data Fidelity initiative, prior to proceeding beyond an assessment phase which is not expected to exceed \$90,000 in cost.*
3. *ADE shall return to the Committee for additional review of the "Education Data Fidelity" project if ASET raises serious concerns when reviewing its upcoming full PIJ for the \$920,000 development cost.*
4. *ADE may proceed with the design, development and implementation of the proposed solution related to the AELAS School Finance automation project; however, should there be significant differences in the scope of work, costs, implementation schedule, or proposed technology, ADE must amend the PIJ for the project to reflect the changes and submit it to the ASET office for review and approval prior to further expenditure of funds.*
5. *ADE shall present results of the pending third party analysis of AELAS for review at the next Committee meeting.*

The motion carried,

**ARIZONA DEPARTMENT OF CORRECTIONS - Review of FY 2013 Bed Capacity Report.**

Ms. Micaela Larkin, JLBC Staff, stated that this is for a review of the Arizona Department of Corrections (ADC) FY 2013 bed capacity report. The JLBC Staff presented options to the Committee and answered questions from members.

Mr. Chuck Ryan, Director, ADC, responded to member questions.

Senator Shooter moved that the Committee give a favorable review of the FY 2013 bed capacity report. The motion carried.

**ATTORNEY GENERAL - Review of FY 2011 and FY 2012 Uncollectible Debts.**

Mr. Matt Gress, JLBC Staff, stated that the Attorney General's (AG) office is requesting review of their uncollectible debts report. After a period of time the Attorney General determines that some debts that are owed to the state are uncollectible and upon the Committee's review these can be removed from the state accounting system. The Attorney General identified \$17.2 million of uncollectible debt in FY 2011 and \$30.4 million in FY 2012.

The JLBC Staff presented options to the Committee.

(Continued)

Representative Gowan moved that the Committee give a favorable review of the FY 2011 and FY 2012 listings of uncollectible debts referred to the AG by state agencies for collection. The uncollectible debt listings total \$17.2 million for FY 2011 and \$30.4 million for FY 2012. The motion carried.

**ARIZONA BOARD OF REGENTS - Review of FY 2014 Tuition Revenues.**

Mr. Art Smith, JLBC Staff, stated that Arizona Board of Regents (ABOR) requests Committee review of its expenditure plan for tuition revenue amounts greater than the amounts appropriated by the Legislature, and all non-appropriated tuition and fee revenue expenditures for the current fiscal year.

The JLBC Staff presented options to the Committee.

Senator Shooter moved that the Committee give a favorable review of ABOR's expenditure plan. The motion carried.

**DEPARTMENT OF ENVIRONMENTAL QUALITY - Review of Vehicle Emissions Contract Modification.**

Ms. Micaela Larkin, JLBC Staff, stated that the Department of Environmental Quality (DEQ) requests Committee review of proposed modifications or amendments to the Vehicle Emissions Inspection Contract with a private vendor.

Mr. Trevor Baggione, Deputy Director, Air Quality Division, Department of Environmental Quality responded to member questions.

Senator Shooter moved that the Committee give a favorable review to the Vehicle Emissions Inspection contract modifications. The motion carried.

**EXECUTIVE SESSION**

Senator Shooter moved that the Committee go into Executive Session. The motion carried.

At 2:10 p.m. the Joint Legislative Budget Committee went into Executive Session.

Senator Shooter moved that the Committee reconvene into open session. The motion carried.

At 2:38 p.m. the Committee reconvened into open session.

Senator Shooter moved that the Committee approve the recommended settlements proposed by the Attorney General's office in the cases of:

- *Van den Berg v. Arizona Board of Regents, et al.*
- *Nieves v. State of Arizona, et al.*

The motion carried.

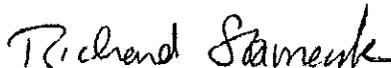
Without objection, the meeting adjourned at 2:40 p.m.

Respectfully submitted:



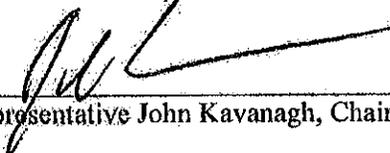
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Terri Scherer, Secretary



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Richard Stanyek, Director



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Representative John Kavanagh, Chairman

NOTE: A full audio recording of this meeting is available at the JLBC Staff Office, 1716 W. Adams.  
A full video recording of this meeting is available at <http://www.azleg.gov/jlbc/meeting.htm>.