



REQUEST FOR PROPOSAL

Computerized Criminal History (CCH) System Modernization Project

RFP 22000000009

Issued: August 9, 2022

Alabama Law Enforcement Agency
201 South Union Street
Montgomery, AL 36104
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www.alea.gov

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Glossary

This section presents a glossary of the acronyms used in this document.

Acronym	Definition
ALEA	Alabama Law Enforcement Agency
CCH	Computerized Criminal History
CJIS	Criminal Justice Information Services
CJSD	Criminal Justice Services Division
COOP	Continuity of Operations
COTS	Commercial, Off-the-Shelf
FAT	Factory Acceptance Testing
FBI	Federal Bureau of Investigation
IFFS	Identification for Firearm Sales
IMP SOW	Implementation SOW
IMS	Integrated Master Schedule
IOC	Initial Operational Capability
ISO	International Standards Organization
IT	Information Technology
LEA	Law Enforcement Agency
NIST	National Institute of Standards and Technology
OPMR	Operational Program Management Review
OPS SOW	Operations SOW
PDF	Portable Data Format
PMO	Program Management Organization

Acronym	Definition
PMP	Project Management Plan
RFP	Request for Proposals
SAT	System Acceptance Testing
SID	State Identification Number
SLA	Service Level Agreement
SLP	Service Level Plan
SOW	Statement of Work
TEMP	Test and Evaluation Master Plan
UAT	User Acceptance Testing
UPS	Uninterruptable Power Supply

Section I Introduction

The Alabama Law Enforcement Agency (“ALEA”) announces this Request for Proposals (“RFP”) to all eligible and interested parties for the opportunity to submit a proposal, in accordance with the requirements herein, to solicit proposals from qualified vendors for an agreement (“Agreement”) with an organization (“Vendor”) that can provide a commercial off-the-shelf (“COTS”) based, provider hosted, Computerized Criminal History (“CCH”) system (“Serv”) for the State of Alabama. All interested vendors are invited to submit a proposal in accordance with the requirements specified in this RFP.

1.1 Purpose of RFP

ALEA was created in 2015 through the merger of several independent state law enforcement agencies. As a result, official government functions related to criminal justice information systems, criminal records, the state automated fingerprint identification system (AFIS) and other technical and informational functions, which were spread across agencies, are now consolidated into a single Criminal Justice Services Division (CJSD) of the State Bureau of Investigation within ALEA.

ALEA has an existing CCH which is described in Attachment D to this RFP.

This will be an open and competitive bid process. The capabilities of the selected vendor’s solution will include, but not be limited to, all hardware, software and maintenance and support services, including network management required to provide a CCH environment with a geographically separated disaster recovery/continuity of operations (DR/COOP) environment to serve ALEA and all users within the State of Alabama; on a CCH-as-a-service basis. System support and maintenance in a provider hosted facility or alternate provider facility must be provided as a service by the selected vendor.

Vendors’ responses to the System Requirements and the Statements of Work, particularly regarding implementation, user experience, data migration and training, will be the major factors considered as part of this solicitation. It is the State of Alabama’s desire that this hosted solution service be implemented and accepted in a timeframe not greater than 24 months from contract signing.

Vendor responses to this RFP must include, but not be limited to, software licensing and implementation, CCH system solution (including a disaster recovery/continuity of operations site, project management, training, customizations, data migration, ongoing maintenance, support and reporting services, all based on a COTS CCH solution.

It will be important for the chosen vendor to have significant experience in Criminal Justice Information Services with state-level agencies and extensive knowledge of federal requirements for compliance and interaction with FBI CJIS by ALEA.

1.2 Scope of RFP

Through this RFP the State seeks to replace and enhance core CCH components and the criminal records management services that ALEA provides. Specific service elements sought from prospective Bidders include, but are not limited to, the needs described in:

- Attachment A - Implementation Statement of Work (SOW).
- Attachment B - Operations SOW.
- Attachment C - CCH Specifications.
- Attachment D - Current ALEA CCH Environment

- Attachment E - References Form
- Attachment F - Vendor Strength and Stability Form
- Attachment G - Cost Response Form

1.2.1 Implementation SOW

The Implementation SOW defines the scope of work required throughout the so-called developmental phase of the ALEA CCH replacement contract. The developmental phase is the period from contract award through completion of system acceptance. System acceptance includes successful user acceptance test (UAT). UAT is part of the Implementation SOW. The Implementation SOW is in Attachment A. Specifications stating that the proposed CCH solution “shall” meet are mandatory for the final solution design, while compliance with those stating that CCH “should” meet will be evaluated based on the vendors response.

1.2.2 Operations SOW

The Operations SOW defines the scope of work required throughout the so-called operational phase of the ALEA CCH replacement contract. The operational phase is the period from completed system acceptance through the completion of the contract. The Operations SOW also applies to any extension that may be negotiated under a contract. The Operations SOW is in Attachment B. Specifications stating that the proposed CCH solution “shall” meet are mandatory for the final solution design, while compliance with those stating that CCH “should” meet will be evaluated based on the vendors response.

1.2.3 CCH Specifications

The CCH Specifications document enumerates the functional and technical requirements of the solution that this RFP describes. The technical requirements include what is referred to as non-functional requirements. The CCH Specifications document is in Attachment C. Specifications stating that the proposed CCH solution “shall” meet are mandatory for the final solution design, while compliance with those stating that CCH “should” meet will be evaluated based on the vendors response.

The final Scope of Work for this project may change at the time of vendor selection, and any changes will be incorporated into the contract.

1.3 Minimum Mandatory Requirements

To be eligible to submit a proposal for this RFP, the Vendor, at a minimum, must meet all of the following minimum mandatory requirements:

State of Alabama – Alabama Law Enforcement Agency
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ID	Specification	Meets	Does Not Meet
MMS-1	<p>Vendor must be established prime providers of CCH systems with equivalent CCH installations (equivalent in terms of CCH functionality, database size, transaction throughput and accuracy) that are in current productive use in U.S. law enforcement installations. Proposals will not be accepted from third-party manufacturer representatives, system integrators or from manufacturers whose systems do not meet the equivalency requirements and productive use requirements established in this solicitation.</p> <p>Vendor must have begun or completed implementation of their solution in at least one (1) U.S. State level environment of similar complexity to that of The State of Alabama, within the last 5 years.</p>		
MMS-2	<p>The RFP response must include a minimum of 3 qualified references for the provider's solution as required in the RFP. 2 of the 3 must be for the solution proposed in response to this RFP, the 3rd can be any current customer of the vendors' products. All three references must be from the public sector.</p>		
MMS-3	<p>The vendor must provide a fully integrated and managed solution. The proposed solution must utilize a cloud model that is CJIS compliant and approved by the State of Alabama. The vendor will be responsible for managing all aspects of the service proposed.</p>		
MMS-4	<p>The data must be solely owned by the ALEA and the State of Alabama.</p>		
MMS-5	<p>The solution hosting platform, all solution components, data, database, disaster recovery site, or business continuity sites must be physically located in the United States and the transmission of data must not leave the continental United States.</p>		
MMS-6	<p>All work performed to satisfy the requirements of the contract resulting from this Request for Proposal (RFP) must be performed in the United States.</p>		

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ID	Specification	Meets	Does Not Meet
MMS-7	The proposed solution must be compliant with the most current version of the FBI CJIS Security Policy.		
MMS-8	The proposal's primary vendor must assume responsibility for the overall solution and all of its components.		

Failure to meet these pass/fail requirements will disqualify proposals.

Section II General Terms & Conditions

2.1 Key Dates & Contact Information

The following key dates pertain to this RFP. Working days are Monday through Friday, excluding any State of Alabama holidays.

Event	Date/Time
RFP Released	Tuesday, August 9, 2022
Vendor Conference**	Wednesday, August 17, 2022
Vendor Final Questions Due	Friday, August 22, 2022
Answers to Vendor Questions Due	Thursday, August 26, 2022
Close Date - RFP Responses Due	Wednesday, October 5, 2022
Bid Opening	Thursday, October 5, 2022

For any questions or issues, please contact the RFP Coordinator
Nikita Iverson (334) 676-6219 Email: Nikita.Iverson@alea.gov

Responses to this RFP must be received in the ALEA Accounting Office by 4:00 p.m., Central Standard Time, on October 5, 2022. Packages must be clearly marked as:

ALEA RFP 22000000009: Purchasing (Nikita Iverson)
Sealed Bid DO NOT OPEN.

A mandatory virtual pre-bid **Vendor Conference will be held on Wednesday, August 17, 2022, at 10 am central standard time. Interested providers should contact the above listed ALEA RFP Coordinator via email to request an invitation to this Teams meeting. The invitations will then be forwarded via email to those named provider representatives upon request.

2.2 Responsibility to Read and Understand

By responding to this solicitation, the Vendor will be held to have read and thoroughly examined the RFP. Failure to read and thoroughly examine the RFP will not excuse any failure to comply with the requirements of the RFP or any resulting contract, nor will such failure be a basis for claiming additional compensation.

2.3 Reservations

In addition to any other reservations made herein, ALEA reserves the following rights:

- a) to cancel this RFP.
- b) to reject any or all proposals.
- c) to reject individual proposals for failure to meet any requirement.
- d) to award by item, part or portion of an item, group of items, or total.
- e) to waive minor defects and/or seek additional proposals.
- f) to award one or more contracts that ALEA determines to be in the best interest of the state and ALEA.
- g) to award a contract to a vendor other than the lowest-priced vendor, if a higher-priced proposal provides the best value as determined by ALEA.

2.4 No Right to Selection or a Contract

The submission of a proposal confers on Vendor no right of selection or to a subsequent contract. This process is for the benefit of the ALEA only and is to provide the ALEA with competitive information to assist in the selection process. All decisions on compliance, evaluation, terms, and conditions will be made solely at the discretion of the ALEA and made to favor the State.

2.5 Clarification/Supplementation Request from ALEA

ALEA may seek and receive necessary clarification/supplementation from Vendor within five (5) days of receiving responsive proposals and prior to awarding any contract. Clarification/supplementation during this period will be limited to ensuring compliance with requirements, forms, and certifications and is not an opportunity for Vendor to modify substantive terms or its monetary proposal.

2.6 Vendor Registered to do Business in Alabama

All responsive vendors must be registered to perform business with the State of Alabama. A copy of the **State Vendor Application** and information pertinent to doing business with the State is available online at: <https://procurement.staars.alabama.gov>. Registration is required every three (3) years. Applications should be submitted to the Purchasing Division of the Alabama Department of Finance. Additionally, vendors must be registered in the State of Alabama Accounting System (STAARS) to receive payment for services rendered.

General terms and conditions provided by the Alabama Department of Finance through the STAARS Purchasing System are hereby incorporated into this RFP by reference.

2.7 Vendor Contact

ALEA will consider the person who signs Vendor's proposal the contact person for all matters pertaining to the proposal unless Vendor expressly designates another person in writing.

2.8 Communications

From the date of publication of this RFP until such time as a binding contractual agreement exists with a Selected Vendor or until such time as ALEA rejects all proposals, Informal Communication **shall** cease and only Formal Communication will be allowed between any Vendor and ALEA.

Failure to comply with this provision could result in disqualification of Vendor from continuing in this process.

Informal Communication **shall** include, but not be limited to, any communications from any Vendor to any facility, division, employee, agent, or representative of ALEA, with the sole exception being communications by vendors for information, comments, or speculation directed to ALEA's RFP Coordinator.

Formal Communication **shall** include Written Requests for Clarification/Information (pursuant to Section 2.5, **Clarification/Supplementation Request from ALEA**), Oral Presentations if requested by ALEA, or Negotiations with the Selected Vendor.

2.9 Cost of Preparation

ALEA is not responsible for, and will not pay any costs associated with, the preparation and submission of Vendor's proposal regardless of whether Vendor is selected for negotiations. Any costs associated with this RFP will be the responsibility of Vendor and will in no way be charged to the ALEA or the State of Alabama.

2.10 Proposal Conditions

All Vendor proposals will remain firm and unaltered for one-hundred and twenty (120) days after the proposal due date shown or until the contract is fully executed with any Vendor, whichever is earlier. An exception to this criterion will be if the Vendor is engaged in contract negotiations. That Vendor will then be allowed to make proposal modification(s), only in accordance with a request by ALEA. ALEA may accept Vendor's proposal at any time during the proposal firm time, subject to successful contract negotiations.

Proposal evaluations will be scored based on the response to the requirements of this RFP and held as the primary proposal. Alternative proposals will not be considered as the basis for the evaluation of the Selected Vendor. All proposals received will become the property of ALEA. ALEA further reserves the right to use for its benefit the ideas contained in proposals received.

Vendor must provide in the responsive proposal all applicable hourly rates and an itemized breakdown of costs (direct and indirect) based on the services that will be required. If multiple individuals may provide service under an executed contract, this information must be provided for each such individual. Failure to provide hourly rates for all services required in this RFP may result in a proposal being considered non-compliant.

Vendor must specify in the proposal the anticipated location(s) where the work will be performed. Vendor is not to use ALEA facilities or offices to provide services, unless specifically approved by ALEA.

All work performed and any ongoing services by Vendor procured through this RFP will comply with FBI Criminal Justice Information Services (CJIS) Security Policy, Alabama Justice Information Commission Policy, ALEA policies and procedures, and industry standard best practices.

2.11 Vendor Certifications Based Upon Proposal Submission

By submitting a proposal:

- a) Vendor warrants acceptance and agreement with all terms and conditions presented in this RFP and that all statements contained in the proposal are true and correct. The Vendor further certifies that Vendor is legally authorized to conduct business within the State of Alabama and capable of providing the services described. Any exceptions to the specified terms and

conditions must be clearly set forth within Vendor's proposal and are subject to the acceptance of ALEA. Vendor may be deemed non-responsive if its proposal contains exceptions to the terms and specifications of the RFP.

- b) Vendor warrants that neither Vendor nor any Vendor trustee, officer, director, employee, agent, servant, volunteer, subcontractor, or assign, is a current employee of ALEA and that no such individuals have been employed by ALEA within a two (2) year window preceding the issuance of this RFP. During the term of any awarded contract, Vendor **shall** be responsible for ensuring compliance with this requirement.
- c) Vendor certifies that neither Vendor nor any Vendor representative, trustee, officer, director, employee, agent, servant, volunteer, subcontractor, or assign is affiliated with or has publicly or privately colluded with any other vendor or any representative, trustee, officer, director, employee, agent, servant, volunteer, or assign of ALEA.
- d) Vendor certifies that it has disclosed and agrees it is obligated to continue to disclose financial and other interests (public or private, direct or indirect) that may pose a potential conflict of interest or which may conflict, in any manner, with Vendor's obligations and performance of an awarded contract. Vendor certifies it **shall NOT** employ any individual with a conflict of interest to perform any service described in this RFP.
- e) Vendor warrants it read and thoroughly examined the RFP and acknowledges failure to read and thoroughly examine the RFP will not excuse any failure to comply with the requirements of the RFP or any resulting contract, nor will such failure be the basis for any claim for additional compensation.

2.12 Opening Date

Vendor proposals will be opened on October 5, 2022, at (4:00 pm) in the ALEA Accounting Magnolia Conference Room located at 301 South Ripley Street, Montgomery, AL 36104. Only the names of Vendors who submitted proposals will be announced.

Properly identified proposals will be securely kept and will remain unopened until time of proposal opening. ALEA does not accept responsibility of premature openings of proposals, which were not properly identified, or which arrived late for whatever reason. Proposal opening is not to be construed as meaning any vendor meets all specifications as set out in the proposal.

2.13 Evaluation and Selection

ALEA will designate a Proposal Evaluation Committee to be made up of members of ALEA Staff and Senior Staff. ALEA reserves the right to include a qualified expert with relevant experience to participate in proposal evaluations. The Proposal Evaluation Committee will evaluate all proposals using the criteria outlined in Section 4.10, **Evaluation Criteria**, and make a recommendation to the Secretary of ALEA who will make the final selection.

ALEA may make such reasonable investigations as deemed proper and necessary to determine the ability of Vendor to perform the services as proposed, and Vendor **shall** furnish to the State all such information and data for this purpose as may be requested. The State further reserves the right to reject any proposal if the evidence submitted by, or investigations of, such Vendor fails to satisfy the State that such Vendor is properly qualified to carry out the obligations of the awarded contract.

Vendor selection will be based on the proposal that meets or exceeds the requirements set forth in this RFP. Proposals will be evaluated based on the quality and completeness of the information

provided. Vendors must provide comprehensive statements that illustrate their understanding of the proposed contract requirements.

Upon the award of, or the announcement of the decision to award a contract, ALEA will inform the Selected Vendor in writing. See **Section 4.11, Selection Posted** for more details.

2.14 Contract Negotiations

The Selected Vendor may be required to enter into contract negotiations at the discretion of ALEA. If an agreement cannot be reached to the satisfaction of ALEA, it may reject the Vendor's proposal or revoke the selection and begin negotiations with another qualified and responsive vendor.

This RFP does not, by itself, obligate ALEA; such obligation **shall** commence only upon the execution of any properly approved contract. However, part or all of this RFP may be incorporated into any executed contract, along with Vendor's proposal. ALEA hereby reserves the right to add terms and conditions during contract negotiations, within the scope of this RFP.

2.15 Cost of the Resulting Contract

Per each proposed service listed in Section III Scope of Work, the Vendor **shall** state the cost for each service, whether it be a total cost of the accomplished service or a fixed rate for the personnel needed to accomplish the service. If a fixed rate is submitted, then the Vendor **shall** provide a rate per type of position necessary to accomplish the service.

2.16 Resulting Contract General Terms

- a) A standard contract will be required. Upon acceptance of Vendor's proposal by ALEA, the parties will execute a formal contract, in writing, duly signed by the proper parties thereto, which **shall** be subject to review by the Legislative Contract Review Oversight Committee of the State of Alabama and to approval and signature of the Governor of the State of Alabama. The executed contract will not be effective until it has received all requisite state government approvals. Vendor will assume responsibility for providing services under the executed contract on the effective date of the contract, which will be the date of approval and signature of the Governor of Alabama or her designee. Vendor **shall NOT** begin performing services thereunder until notified by ALEA. Vendor will not be entitled to compensation for work or services performed prior to the effective date of the contract.
- b) The anticipated initial contract term for this RFP is a two (2) year period. ALEA reserves the right, however, to include up to three (3), one-year renewal options, at its discretion, in any initially awarded contract (ALEA will be also seeking approval for alternate contract terms with an initial contract term for a six (6) year period plus up to four (4), one-year renewal options). To be effective, any renewals must also be submitted and approved by the Alabama Legislative Contract Review Oversight Committee and require the approval and signature of the Governor of the State of Alabama.
- c) The resulting contract will be comprised of negotiated standard contract terms, this RFP, the Successful Vendor's proposal, and any changes or modifications made during the negotiation process, limited to the scope of this RFP and the Successful Vendor's proposal. The contract, including any attachments, will constitute the entire contract between Selected Vendor and ALEA. The executed contract and any renewals thereof are subject to review and approval by the Legislative Contract Review Committee and the Governor of the State of Alabama. Modifications and waivers must be in writing and signed or approved by authorized

representatives of Selected Vendor and ALEA to be binding. Amendments or modifications are also subject to review and approval, in accordance with State Law.

- d) A contract **shall not** be assignable by Vendor.
- e) Selected Vendor **shall** be an independent contractor. Selected Vendor, its agents, sub-vendor(s), and employee(s) **shall not** be considered to be agent(s), distributor(s), or representative(s) of ALEA. Further, neither Selected Vendor nor any employees of Selected Vendor will be entitled to participate in any retirement or pension plan, group insurance program, or other programs designed to benefit employees of ALEA or under the Alabama State Merit System Act.
- f) Selected Vendor, who executes the awarded contract for service, is contractually responsible for the total performance of the contract. Subcontracting may be allowed, at the sole discretion of ALEA, but must be disclosed as a part of the proposal or otherwise approved in advance by ALEA.
- g) ALEA reserves the right to cancel and terminate any resulting contract, in part or in whole, without penalty, upon ninety (90) days written notice to Selected Vendor. Any contract cancellation notice **shall not** relieve Selected Vendor of the obligation to return any and all documents or data provided or generated as a result of any resulting contract.
- h) If ALEA terminates for convenience, it will pay Selected Vendor only for authorized expenses delivered satisfactorily and incurred up to the time of termination.
- i) ALEA reserves the right to provide additional terms within the scope of original RFP in the negotiation stage.

2.17 Billing

- a) Vendor **shall** provide an invoice pursuant to a services contract.
- b) Vendor will not bill for any taxes unless a statement is attached to the bill identifying the tax and showing why it is legally chargeable to ALEA. If it is determined that taxes are legally chargeable to ALEA, ALEA will pay the tax as required. State and federal tax exemption information is available upon request. ALEA does not warrant that the interest component of any payment, including installment payments to Vendor, is exempt from income tax liability.
- c) Vendor will comply with applicable tax requirements and will timely pay such taxes. Vendor will be responsible for the payment of any and all applicable state, county, municipal, and federal taxes, including sales tax and any other taxes so authorized.
- d) Payments delayed by ALEA at the beginning of the fiscal year because of the appropriation process will not be considered a breach.
- e) Payments will be made to conform to State fiscal year requirements notwithstanding any contrary provision in the contract. This may include prorating payments that extend beyond the end of the fiscal year for ALEA.
- f) Vendors must be registered in the State of Alabama Accounting System (STAARS) to receive payment. To register visit the State of Alabama Vendor Self Service (VSS) web site, <https://procurement.staars.alabama.gov>.

2.18 Confidentiality and Use of Work Product

Any documents or information obtained by Vendor from ALEA in connection with this RFP or the resulting contract will be kept confidential and will not be provided to any third party unless ALEA approves disclosure in writing. All work products produced under the RFP including, but not limited to, documents, reports, information, documentation of any sort, and ideas, whether preliminary or final, will become and remain the property of ALEA. Any patent, copyright, or other intellectual ideas, concepts, methodologies, processes, inventions, and tools (including computer hardware and software, where applicable) that Selected Vendor previously developed and brings to ALEA in furtherance of performance of the resulting contract will remain the property of Selected Vendor. Selected Vendor grants to ALEA a nonexclusive license to use and employ such software, ideas, concepts, methodologies, processes, inventions, and tools solely within its enterprise.

Section III Scope of Work

The goal of this project is to provide ALEA and the State of Alabama with a complete and comprehensive CCH solution as a provider-hosted service. The State of Alabama will provide a point of presence for the CCH in Montgomery. The solution must provide and maintain connectivity to the point of presence during the life of the contract.

The final Scope of Work may change at the time of selection and any changes will be incorporated into the final contract. Each Service listed below should be separately addressed in corresponding section numbers in the proposal.

3.1 Services Required

The Vendor's proposal ***shall*** include a sufficiently detailed plan to provide any and all services at the ALEA's exclusive discretion. These services are detailed in the following Attachments: A – CCH Specifications, B – CCH Implementation Statement of Work, and C – CCH Operations Statement of Work.

3.2 Milestones and Deliverables

Required milestones and deliverables are detailed in the following Attachments: A – CCH Specifications, B – CCH Implementation Statement of Work, and C – CCH Operations Statement of Work. The Vendor's responses to Attachments A, B, and C will be incorporated into the final contract.

Section IV Instructions to Vendors, Proposal Preparation, & Selection Criteria

4.1 Deadline for Receipt of Proposal by ALEA

Proposals must be **received** in the ALEA Accounting Division by the date and time listed in Section 2.1 to be considered. All proposals received after the appointed date and hour for receipt, whether by mail or otherwise, will be returned unopened. The time of receipt **shall** be determined by the time received in the ALEA Accounting Division and **shall** be date and time stamped accordingly. Vendors are solely responsible for assuring that proposals are received by the designated date and time.

4.2 Proposal Delivery

Proposals must be delivered through the US Postal Service, an express delivery service, such as FedEx or UPS, or hand-delivered to the following address:

State of Alabama
Alabama Law Enforcement Agency Accounting Division
Attn: Nikita Iverson
301 South Ripley Street
Montgomery, Alabama 36104

Hand delivered proposals must be delivered in ample time to allow for security check-in at the front desk of the Criminal Justice Center and delivery to the ALEA Accounting Division prior to the designated deadline.

4.3 Identification of Proposal Envelope

Envelopes/boxes containing proposals **shall** be sealed and marked in the lower left-hand corner of the external packaging with the solicitation number, "ALEA RFP 22000000009," 4:00 pm, Thursday March of the proposal and "Sealed Bid DO NOT OPEN". This format should be used on your proposal packaging. It is further suggested that, if you submit your proposal by a courier such as FedEx or UPS and place your sealed envelope inside the courier's envelope, you clearly mark the courier's envelope with the same information.

No other correspondence or other proposals should be placed in the envelope.

Envelopes that are prematurely opened due to Vendor's failure to comply with this Section will not be considered. ALEA assumes no responsibility for the premature opening of any envelope not properly identified.

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A sample of a return mailing label for identifying the package as a sealed proposal.

Vendor's Name	
Vendor's Address	
	State of Alabama
	Alabama Law Enforcement Agency
	Accounting Division
	Attn: Nikita Iverson
	301 South Ripley Street
	Montgomery AL 36104
ALEA Accounting	
RFP 22000000009	
RFP Hour and Due Date:	Sealed Bid DO NOT OPEN
4:00 p.m. CST, October 5, 2022	

4.4 Unacceptable Proposals

Faxed, electronic, or oral proposals will not be accepted.

4.5 Exemption from Public Records Law

If the Vendor considers any portion of the documents, data, or records submitted in response to this solicitation to be confidential, trade secret, or otherwise not subject to public disclosure, Vendor must, in addition to the required copies below, also provide ALEA with a separate, redacted copy of its proposal in portable document format (PDF), on a disc marked clearly as a "REDACTED COPY," and briefly describe in a separate writing, as to each redacted item, the grounds for claiming exemption under Code of Alabama 1975, § 36-12-40.

This redacted copy **shall** be provided to ALEA at the same time Vendor enters its proposal and must only exclude or redact those exact portions that are claimed confidential, trade secret, or otherwise not subject to disclosure.

Vendor **shall** be responsible for defending its determination that the redacted portions of its proposal are confidential, trade secret, or otherwise not subject to disclosure. Furthermore, Vendor **shall** protect, defend, and indemnify ALEA for any and all claims arising from or relating to Vendor's determination that the redacted portions of its proposal are confidential, trade secret, or otherwise not subject to disclosure. All of the above **shall** be acknowledged in Vendor's separate written "Acknowledgment" that must accompany the REDACTED COPY.

If Vendor fails to submit the REDACTED COPY and the Acknowledgment with its proposal, the ALEA is authorized to produce the entire proposal, as submitted, in response to any public records request.

4.6 Submission Requirements

One (1) original paper or hard copy of the proposal, with original signatures and marked "ORIGINAL", must be submitted along with additional paper or hard copies, including copies of required completed/notarized documents. The required number of paper copies of each volume of the proposal is identified in **Section 5.3 – Number of Copies**. Each paper copy should be marked to indicate which copy it is (e.g., Copy #1, Copy #2, etc.). Vendor must additionally submit an electronic copy, including all attachments, on a USB drive. The proposal package must be fully sealed and properly labelled with Vendor's name, proposal opening date, and RFP number. Failure to submit the required number of copies in this requested format may prevent a Vendor's proposal from being evaluated.

The original proposal must be signed by an authorized representative of Vendor and must be notarized. Any changes appearing on the original proposal must be made in ink and initialed by the authorized representative of the Vendor.

If the Vendor submitting a proposal intends to outsource or subcontract any work to meet the requirements contained herein, such must be clearly stated in the proposal and details must be provided, including a name and description of the organization(s) being contracted. All forms and requirements of Vendor per this RFP **shall** equally pertain to any subcontractor(s).

Any vendor whose proposal does not meet the mandatory requirements and does not provide a primary proposal meeting all the required specifications of the RFP will be considered non-compliant.

The proposal must address all requirements of this RFP and provide all information requested. Failure to comply with the requirements of the RFP will result in the disqualification of Vendor's proposal. Proposals submitted on reduced and/or mutilated forms will be rejected.

A list of required forms and other information related to RFPs for ALEA can be found at <http://www.alea.gov/RFP>.

4.7 Vendor Demonstration Presentation

ALEA may, at its sole option, elect to require oral presentation(s) by Vendors being considered for award. This provides an opportunity for ALEA to ask questions and for Vendors to clarify or elaborate on their proposals. This is a fact finding and explanation session only and does not include negotiation. ALEA will schedule the time and location of these presentations, if required. If requested, the oral presentations **shall** be considered part of the proposal and assessment as provided in Section 4.10, **Evaluation Criteria**.

4.8 Request to Modify or Withdraw Proposal

Vendor may make a written request to modify or withdraw the proposal at any time prior to opening. No oral modifications will be allowed. Such requests must be addressed and labeled in the same manner as the original proposal and plainly marked Modification to, or Withdrawal of, Proposal. Only written requests received by ALEA prior to the scheduled opening time will be accepted. ALEA will supplement original proposals received with accepted written modification requests.

4.9 Suspected Errors/Clarification

If Vendor suspects an error, omission, or discrepancy in this RFP, Vendor must notify the RFP Coordinator via e-mail and such notification must be received by the ALEA by 4:00 p.m., Central Standard Time, on September 8, 2022. The subject line of the e-mail should read "RFP 22000000009". If appropriate, the ALEA will issue written instructions and make any necessary changes available to all interested parties by posting the same on ALEA's website, <http://www.alea.gov/RFP>. It is the responsibility of all interested vendors to monitor this webpage for announcements regarding this RFP.

If Vendor considers any part of the RFP unclear, Vendor is expected to make a written request for clarification by no later than 4:00 p.m., Central Standard Time, on September 8, 2022. The subject line of the e-mail should read "RFP 22000000009". In ALEA's response, it will provide the request for clarification followed by a statement of clarification by posting the same on ALEA's website, <http://www.alea.gov/RFP>. It is the responsibility of all interested vendors to monitor this webpage for announcements regarding this RFP.

Amendments to this RFP, if issued, will be made available to all interested vendors registered through the Alabama Department of Finance's Purchasing Division as required and by posting the same on ALEA's website, <http://www.alea.gov/RFP>. The amendment(s) will incorporate the clarification or change and provide a new date and time for new or amended proposals. It is the responsibility of all interested vendors to monitor this webpage for announcements regarding this RFP.

4.10 Evaluation Criteria

Proposals will be evaluated by ALEA using the following criteria:

Criteria	Vendor Response	Percentage
Vendor Experience, Expertise, and References	Business - Management	10%
Approach to Project Management, Implementation, Customer Support/Warranty, and Maintenance	Business - Management	10%
Response to Specifications: CCH Design	Business – Technical	30%
Response to Specifications: CCH Requirements	Business – Technical	
Response to SOW – Implementation	Business - Management	15%
Response to SOW – Operations	Business - Management	15%
Cost	Cost	20%
TOTAL		100%

Column headings are defined as follows:

- *Scoring Category* – The defined and specific areas to be addressed by the proposer responses.
- *Vendor Response* – The vendor response section for each scoring category.
- *Weight* – The scoring weight to be given to each category.

Notwithstanding the foregoing, ALEA reserves the right to accept or reject any or all bids if it is determined to be in the best interest of the State.

Proposals found to be technically or substantially non-responsive at any point in the evaluation process may be rejected and not considered further.

4.11 Selection Posted

After the evaluation of proposals received and selection of the Selected Vendor, written notice will be sent to the Selected Vendor and the selection and the award will be posted on ALEA's

State of Alabama – Alabama Law Enforcement Agency
RFP – CCH Modernization Project

website, <http://www.alea.gov/RFP>. Notice letters sent or posted during proposal firm time, or during any extension thereof, will extend the proposal firm time until ALEA signs a contract or determines negotiations with the Selected Vendor have failed. Receipt or posting of a notice of award is not the equivalent of a contract with ALEA.

Section V Vendor Proposal Content

Failure to complete and provide the following with the proposal submission will result in rejection of your proposal. For any portions for which no response is necessary, please mark the response as “N/A.”

5.1 Purpose of the Response Section

This section provides a recommended form and manner for the format and organization of Vendor proposals in response to the CCH RFP, for inclusion as instructions in the CCH RFP. In order to have their proposals evaluated, Vendors in submitting their responses to this RFP must comply with the content, sequence, format and other proposal requirements as set forth below in this section, including key dates, activities and instructions to Vendors regarding preparation and submission of proposals.

5.2 General Submission Requirements

Proposal submissions **shall** follow the order of information requested in **Section 5.4 - Proposal Format and Organization**. Vendors **shall** submit only one proposal. Information contained in earlier sections was intended for informational purposes.

5.3 Number of Copies

Vendor **shall** submit one (1) original copy of their proposal (all four volumes), as well as one (1) electronic copy of their full proposal, minus the Cost Response. The electronic copy **shall** include a searchable PDF and all source files. In addition, the Vendor **shall** provide the number of paper copies listed below:

- Ten (10) Business Response (Volume 1)
- Ten (10) Functional Requirements Specifications (Volume 2)
- Ten (10) Technical Requirements Specifications (Volume 3)
- Three (3) Cost Response (Volume 4)

The Cost Response **shall** be submitted in a separate sealed envelope. Vendor **shall** only reference pricing within the Cost Response. Proposals that are determined to be at variance with this requirement may not be accepted at the sole discretion of the State.

5.4 Proposal Format and Organization

The following sub-sections outline the specific proposal content, format, and organization sought by the State for the CCH Project.

The State requires Vendor responses in order, as listed in four primary and distinct volumes as follows:

- 1) Volume 1 - Business Response
 - a. Implementation Statement of Work Response
 - b. Operations Statement of Work Response
- 2) Volume 2 - CCH Functional Requirements Specifications
- 3) Volume 3 - CCH Technical Requirements Specifications
- 4) Volume 4 - Cost Response

5.4.1 Volume 1 – Business Response Instructions

Vendors ***shall*** follow the outline below for the Business Response section of the overall proposal. A more detailed explanation of the information sought by the State in each subsection is also provided.

- 1) Required Forms
- 2) Administrative
- 3) Table of Contents
- 4) Executive Summary
- 5) Overall Solution Approach
- 6) Value-added Services
- 7) Vendor References
- 8) Vendor Strength and Stability
- 9) Conflict of Interest
- 10) Project Oversight Acknowledgment
- 11) Statements of Work (SOWs) Response

5.4.1.1 Required Forms

A list of required forms and other information related to RFPs for ALEA can be found at <http://www.alea.gov/RFP>. These completed forms must be included with the Vendor Proposal:

- 1) Cover Sheet
- 2) Vendor Authorization to Submit Proposal
- 3) Vendor Disclosure Statement
- 4) Corporate Acknowledgement
- 5) Certificate of Authority - Sample
- 6) Certificate of Compliance - Act 2016-312
- 7) Certificate of Compliance - Beason-Hammon
- 8) Immigration Status
- 9) E-Verify MOU
- 10) W-9

5.4.1.2 Administrative

- 1) Submit the RFP Confirmation of Offer form (attachment labeled Confirm), signed in ink by the Vendor or an Officer of the Vendor who is legally authorized to bind the Vendor to the proposal.
- 2) Identify the point-of-contact for any questions or concerns relative to this response. Provide name, title, address, telephone and fax numbers, and e-mail address.
- 3) Identify the name, title, telephone and fax numbers, and e-mail address of the single point-of-contact for all matters pertaining to the contract.
- 4) Provide a statement indicating whether proprietary information has been included in the proposal and ensure that each identified occurrence has been clearly marked at the top or bottom of each applicable page.
- 5) Provide the following certification statement:

“I/we agree to furnish the services as set forth in this proposal and guarantee that the services to be provided will meet or exceed all specifications, terms, conditions, and requirements herein. The undersigned offers and agrees to comply with all terms, conditions, and certifications as stated in this RFP and furnish the services at the prices

provided with this signed proposal, or as mutually agreed upon after subsequent negotiation.”

- 6) Provide a list of exceptions, as applicable. Any exceptions must be stated on a separate page labeled “Exceptions,” with references to the corresponding terms or provisions of this solicitation. All exceptions must be noted in the proposal in order for them to be subject to negotiation.
- 7) Provide a statement certifying that the proposal **shall** remain valid for a minimum period of 120 days after the Proposal Submission Deadline. See Section 2.1 – Key Dates and Contact Information.
- 8) After the contract process is complete, how soon could you have staff assigned and available to work on the project?
- 9) The identification of any and all questions, comments, or concerns with regard to the contract terms and conditions. Absent any such attachment, the State will assume Vendor’s full acceptance of the contract terms and conditions must be included in the Vendor’s response. Exceptions requested, or alternative language suggested, will be treated as a “Counter-offer”. The willingness and/or ability of the State to accept or negotiate such suggested changes will be considered on a case-by-case basis. If your company normally seeks legal review of contract terms, this process should occur prior to submission of your offer and your offer must identify any term or condition you are questioning and how you would suggest it be resolved.
- 10) The identification of your processes for resolving any vendor/client disagreements for all matters, with the exception of technical issues, relative to and for the life of any contract engagement must be explained in your response.
- 11) The successful Vendor may be required to provide an audited financial statement for the three most recently completed fiscal years, and quarterly financial statements for the current fiscal year. In lieu of an audited statement, a financial statement that has preferably been compiled and reviewed by an independent accounting firm may be substituted for a privately held business.

5.4.1.3 Table of Contents

A table of contents **shall** be included as a part of the overall proposal, with cross-references between each RFP requirement and the specific page of the response to the requirement.

5.4.1.4 Executive Summary

The executive summary **shall** condense and highlight the contents of the Business Response in such a way as to provide the State management and the evaluation groups with a broad understanding of the entire proposal including all requirements identified in the SOW (all hardware, software, design, installation, maintenance, etc.).

5.4.1.5 Overall Solution Approach

The Overall Solution Approach subsection of the Business Response section **shall** provide a comprehensive written description of the Vendor’s solution, project approach, and business continuity strategy. This should include a discussion of the Vendor’s understanding of the State’s vision, an explanation of how the solution will specifically address this vision, and a definition of all services to be provided. Specific emphasis must be placed on the following:

- 1) A description of the proposed solution and a discussion regarding how this solution addresses the goals and requirements of the target ALEA CCH environment.

- 2) A description of the proposed business continuity solution and capability and a discussion of how this solution addresses the goals and requirements of the target ALEA CCH environment.
- 3) An explanation of how the Vendor will accomplish the required interfaces.
- 4) A description of the extent to which the proposed solution adheres to national standards.
- 5) A discussion of how the Vendor will perform risk management, as well as mitigation and issues management.
- 6) Identification of any known/anticipated implementation and operational risks in the near and long terms.

Any proposal that does not adhere to these requirements may be deemed nonresponsive and rejected on that basis.

Vendors may attach other materials that they believe may improve the quality of their responses. However, these materials should be included as items in a separate appendix and identified as to which specification they relate.

5.4.1.6 Value-Added Services

Vendors are encouraged to provide descriptions of any other value-added services that are not already referenced by specifications included within this RFP and identified as to how they are value-added and to which specification to which they relate.

5.4.1.7 Vendor References

Vendors **shall** provide three references and contact information for the qualifying experience of the proposed solution implementations by using the Vendor References Form, located in Attachment E of the RFP.

The State's Evaluation Committee will call and/or visit the Vendor references to confirm information. Vendors must have satisfactorily begun or completed the qualifying project, as verified by the references, in order to receive evaluation points for this requirement.

5.4.1.8 Vendor Strength and Stability

Vendors **shall** complete the Vendor Strength and Stability Form, located in Attachment F of the RFP. If the proposal involves multiple Vendors (e.g., subcontractors), be sure to include relevant information for each Vendor. Please provide a clear and concise response to each question.

5.4.1.9 Conflict of Interest

The following are the conditions relevant to conflict-of-interest matters:

- 1) By signing the proposal, Vendors certify that no assistance in preparing the response was received from any current or former employee of the State of Alabama whose duties related to this RFP (unless such assistance was provided by the State employee in his/her official public capacity) and that neither such employee nor any member of his/her immediate family has any financial interest in the outcome of this RFP.
- 2) The proposal must state whether the Vendor or any employee of the Vendor is related by blood or marriage to a State of Alabama employee or resides with a State of Alabama employee. If there are such relationships, list the names and relationships of said parties. Include the position and responsibilities in the Vendor's organization of such Vendor employees. The proposal must state the employees' titles and start dates of employment.

Disclosure of a conflict of interest does not merit automatic disqualification of the proposal, but it will be reviewed.

5.4.1.10 Project Oversight Acknowledgment

By submitting a proposal in response to this RFP, Vendors agree to and acknowledge the approach wherein participation in the Independent Verification and Validation (IV&V) oversight process is required and acknowledge and assure that any required IV&V participation is covered within the cost proposal.

NOTE: The successful Vendor's proposal in response to the ALEA CCH RFP will be incorporated into the contract.

5.4.1.11 SOW Responses

Response to CCH Implementation SOW Requirements

The Vendor ***shall*** describe its understanding of the State requirements as expressed in the System Implementation phase of the Implementation SOW and its approach to satisfying those requirements. The Vendor ***shall*** address methodology and tools, assumptions, risks, applicable standards, deliverables, and deliverable content. The Vendor ***shall***, in this section, provide their proposal response to the Implementation SOW per the response instructions provided in Attachment A to the RFP.

Response to CCH Operations SOW Requirements

The Vendor ***shall*** describe its understanding of the State's requirements as expressed in the System Operations phase of the SOW and its approach to satisfying those requirements. The Vendor ***shall*** describe the services to be provided, the level of service, assumptions, risks, applicable standards, deliverables, and deliverable content. The Vendor ***shall***, in this section, provide their proposal response to the Operations SOW per the response instructions provided in Attachment B to the RFP.

Following the Vendor's complete response to the CCH SOWs referenced above, the Vendor will then proceed with its response to the CCH System Requirements Specifications as instructed below.

5.4.2 Volume 2 - CCH Functional Requirements Response

The Vendor ***shall*** describe its understanding of the State's functional requirements provided in the Functional Requirements subsection of the CCH Specifications, which is located in Attachment C of the RFP. Instructions for responding to the requirements tables are detailed in the attachment.

5.4.3 Volume 3 - CCH Technical Requirements Response

The Vendor ***shall*** describe its understanding of the State's technical requirements provided in the Technical Requirements subsection of the CCH Specifications, which is located in Attachment C of the RFP. Instructions for responding to the requirements tables are detailed in the attachment.

5.4.4 Volume 4 - Cost Response Instructions

The State is interested in understanding the Vendor's proposed cost associated with the delivery of the CCH system solution under each of the following three options. The Vendor ***shall*** provide the cost response using the cost form provided in Attachment G of the RFP.

Attachment A – CCH Implementation Statement of Work (SOW)

Offerors **shall** read all sections of this attachment and **shall** prepare their response to this CCH Implementation Statement of Work (SOW) for inclusion with their proposal regarding the ALEA CCH RFP, for their proposed system solution. Offeror's response will be incorporated into the final contract.

It is the State's desire that this solution be implemented and accepted in a timeframe not greater than 24 months from contract signing.

Section 1 - CCH Implementation SOW Response Instructions

The Offeror **shall** describe its understanding of the State of Alabama's requirements as expressed in the Implementation Statement of Work (IMP SOW) and its approach to satisfying those requirements. The Offeror **shall** address methodology and tools, assumptions, risks, applicable standards, deliverables, and deliverable content. The Offeror **shall** address, at a minimum, the following areas:

Requirements Definition. The Offeror **shall** describe its understanding of the CCH Requirements Specification and its approach to satisfying these requirements of the CCH IMP SOW, including deliverables, descriptions of deliverable content, and methods and tools to be used.

Design and Development Approach. The Offeror **shall** describe its approach to satisfying the design and development approach requirements of the CCH SOW. The Offeror **shall** describe the process by which it intends to evolve the proposed design solution into a fully detailed design solution required for system implementation. The Offeror **shall** describe proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used.

The Offeror **shall** discuss risks associated with its proposed design solution and describe plans for mitigating those risks. The Offeror **shall** describe the methods to be used to identify engineering alternatives, quantify cost-performance trade-offs, and select preferred engineering approaches for subsequent development. The Offeror **shall** describe the engineering tools, including models, simulations, and prototypes, to be used in support of the Studies and Analyses efforts.

The Offeror **shall** discuss plans for conducting the System Design Review and how it intends to substantiate the viability of its detailed design solution to satisfy the CCH requirements.

Offeror Test. The Offeror **shall** describe its approach to satisfying the Offeror test requirements of the CCH IMP SOW. The Offeror **shall** describe its approach to test planning. What test plans will be developed and what are their relationship to one another and to other documentation (e.g., specifications, standards, test descriptions, and test reports)? How will traceability (e.g., from requirements to test cases) be established, maintained, and controlled throughout the test and evaluation process?

The Offeror **shall** describe the types of testing that will be performed in each developmental phase and level of system assembly. The Offeror **shall** identify the objectives of each type of test and identify the associated test and evaluation documentation and reviews. Is the proposed testing formal (used to demonstrate satisfaction of requirements for purposes of system acceptance) or informal? What tools (e.g., load simulators, interface simulators) and databases will be used for each test type? Standards to be followed for test cases, test procedures, and test results must be identified.

The Offeror **shall** describe how the satisfaction of requirements associated with performance (e.g., capacities, timeliness, and selectivity), interfaces, safety, security, and standards will be tested. The Offeror **shall** identify the tools to be used (e.g., load simulators, interface simulators) and the test

databases to be used and describe how the tools and databases will be used.

The Offeror **shall** provide substantiation of its understanding and the viability of its testing approach. The Offeror **shall** identify the risks inherent in the proposed test and evaluation approach and discuss its strategy for mitigating these risks.

The Offeror **shall** describe proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used.

The selected Offeror will also be required to provide initial training, data extraction/conversion, data migration, optional customizations, and hosting services as part of the tasks outlined in this Statement of Work. The Offeror must provide responses that clearly state that it will meet the Minimum Mandatory Specifications of this project and how its Solution is a best match to provide State's requirements.

System Tests. The Offeror **shall** describe its approach to satisfying the System Test (including System Acceptance Test) requirements of the CCH IMP SOW, including proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used. The approach and system testing plan must acknowledge that all functionality and modules/components must be tested successfully before go-live.

Migration. The Offeror **shall** describe its approach to satisfying the migration requirements of the CCH IMP SOW, including proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used.

The Offeror **shall** describe the technical and management approach for Site Installation, Legacy Data Conversion, and Data Load. Regarding legacy data conversion, offeror must understand and specifically state their understanding that there are over 2 million individuals representing over 5 million charges in the legacy CCH; and that these records need to be included in the data conversion effort by Contractor. The Offeror **shall** indicate how the project activities and control gates identified in the CCH IMP SOW will be iteratively applied for these deployments. The Offeror **shall** indicate the methods, with minimal use of ALEA personnel or resources, to be used for migration of deliveries to operations. Identify migration issues related to deployment and cutover from the legacy system (Existing System). The Offeror **shall** discuss how the proposed technical and management approach to deployment mitigates those issues.

The Offeror **shall** identify the interfaces with State or other alternative sites that will be necessary to accomplish migration to the CCH replacement. The Offeror **shall** indicate how interoperability and continuity of operations will be maintained before, during, and after migration.

The Offeror **shall** provide substantiation of its understanding and the viability of its migration approach.

The Offeror **shall** identify the risks inherent in the proposed migration approach and discuss its mitigation strategies.

Training. The Offeror **shall** describe its approach to satisfying the training requirements of the CCH IMP SOW subsection, including proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used.

The Offeror **shall** identify the risks inherent in the training approach and discuss its mitigation strategies.

Configuration Management. The Offeror **shall** describe its approach to satisfying the configuration management requirements of the CCH IMP SOW, including proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used.

Continuity of Operations Plan (COOP) Planning. The Offeror **shall** describe its approach to satisfying the COOP requirements of the CCH IMP SOW, including proposed activities, deliverables, descriptions of

deliverable content, methods and tools to be used, and operational concepts for continuity and availability as they relate to the system design.

The Offeror **shall** describe its approach for determining and evaluating the facilities, equipment, software, data, records, documents, personnel, and other assets that are critical to maintaining continuity, quality, and level of service. The Offeror **shall** also describe the constraints, assumptions, and overall approach used in deriving the COOP Plan.

The Offeror **shall** provide substantiation of its understanding and the viability of its approach.

The Offeror **shall** identify the risks inherent in the COOP approach and discuss its mitigation strategies.

Program Organization. The Offeror **shall** describe the proposed Program Management Organization (PMO) and how it satisfies these requirements of the CCH IMP SOW. The Offeror **shall** discuss how the proposed PMO (including subcontractors and offerors) is organized (an organizational chart should be included); how it fits into the Offeror's overall corporate structure (an organizational chart **shall** be included); indicate how the proposed PMO will interface with State; and discuss the responsibilities of key persons. The Offeror **shall** identify and discuss the principal interfaces and reporting mechanisms internal to and external to the PMO as well as elements of the Offeror's support organization.

Reporting and Reviews. The Offeror **shall** describe its approach to satisfying the reporting and review requirements of the CCH IMP SOW, including proposed activities, deliverables, descriptions of deliverable content, and delivery media.

Data and Property Management. The Offeror **shall** describe its approach to satisfying the data and property management requirements of the CCH IMP SOW, including proposed activities, deliverables, descriptions of deliverable content, and delivery media.

Audits. The Offeror **shall** describe its approach to satisfying the audit requirements of the CCH IMP SOW, including proposed activities, deliverables, descriptions of deliverable content, and delivery media.

Response to CCH Security

The Offeror **shall** describe its approach to satisfying the security requirements of the CCH System Implementation SOW and the CCH System Operation SOW (SOWs).

The Offeror **shall** state how the security requirements of the CCH SOWs will be met. The Security Proposal **shall** demonstrate both a full comprehension of the security requirements and the intention to comply with these requirements. The security element of the Proposal **shall** indicate how the Offeror will comply with all personnel, physical, and technical requirements of the solicitation.

The Offeror **shall** describe its management structure and procedures for protecting State data, information, materials, equipment, and facilities to which prime, and subcontractor personnel may have access. The Offeror **shall** describe the Offeror's security organization, showing lines of communication to corporate management and explaining why this organization is appropriate for the project.

The Offeror **shall** describe the pre-screening procedures to be used prior to submitting potential employee candidates for facility and/or information access approvals – to include submitting fingerprints to State.

Additional Attachments to the Business Proposal

In addition to the description of the Vendor's overall approach to providing CCH services to the State as instructed in **Section 5.4.1.5 - Overall Solution Approach** in the body of the CCH RFP, Vendors **shall** also introduce and provide the elements described below in the order presented as follows:

Attachment A – Project Management Plan (PMP). The Offeror ***shall*** submit with the Business Proposal a PMP.

Attachment B – Test and Evaluation Master Plan (TEMP). The Offeror ***shall*** submit with the Business Proposal a TEMP.

Attachment C – Integrated Master Schedule (IMS). The Offeror ***shall*** submit as an exhibit to the Business Proposal a resource (staff) loaded IMS. The IMS ***shall*** include, at a minimum, all activities required by the CCH SOW, including Management and Technical Reviews. The IMS ***shall*** identify any schedule margin/reserve. The IMS ***shall*** provide sufficient detail to demonstrate confidence that the proposed schedule is complete and realistic. There is no minimum degree of detail required; however, Offerors are advised that, all else being equal, the greater the detail, the greater the confidence evaluators will have in the proposed schedule.

Attachment D – Deliverable Descriptions. The Offeror ***shall*** submit with the Business Proposal a specification of the proposed format, content, and level of detail for each Deliverable item required by the CCH SOWs, and any other deliverable items proposed by the Offeror. While State has chosen to leave the content, format, and level of detail of individual Deliverables to the discretion of Offerors, the Offerors are to follow the format and content of Appendix B or C (Implementation and Operations Statements of Work).

Attachment E – Service Level Plan (SLP). The Offeror ***shall*** submit with the Business Proposal their proposed SLP. For the services required by the SOW, the SLP ***shall*** address the goals and objectives of the service levels; identify the parties (stakeholders) to the service levels; specify the effective dates of the agreement; specify the purposes, processes, performance measures, and frequencies of periodic reviews; specify the scope of service, customer requirements, service Offeror requirements, and service assumptions; specify the penalties for failure to maintain the required service levels; and specify the service availability, contacts, escalation procedures, and response to service requests. Offerors must ensure that their proposed SLP includes all the required service level performance and capacity specifications outlined in the Technical Specifications section of Appendix A (CCH Specifications) to the RFP.

Section 2 – CCH Implementation Statement of Work

This section of Attachment A provides the implementation statement of work expected for the CCH solution. Following the instructions provided in Section 1 above, vendors are to respond to this SOW below providing detail as to their approach for accomplishing this SOW.

1 – Scope of Work

This document sets forth the Statement of Work (“SOW”) for the implementation of the new Computerized Criminal History System (“CCH”) for the State of Alabama (“State”) during the term of the resultant Contract/Agreement (hereinafter: Agreement). The SOW consists of the of tasks, subtasks, deliverables, goods, services and other work the selected Contractor will be responsible for performing in response to the RFP. In addition to the other requirements of this SOW, Contractor ***shall*** provide the Deliverables identified in Exhibit IMP SOW 1 – **PROJECT DELIVERABLES** called out explicitly in this SOW.

The mandatory requirements in this SOW are denoted by the word “***shall***” in bold italics to call attention to the each of them.

All Work performed under the Agreement **shall** be performed within the territory of the United States and **shall** be performed by United States citizens or Lawful Permanent Residents of the United States. No State data (including without limitation CCH data, identity history data, biographic data, property data and case/incident history data, as defined in Section 4.1 of the CJIS Security Policy, listed under 1.3.2 – Specifications, Standards and Guides below) or information **shall** be communicated to anyone who is not a United States citizen or Lawful Permanent Resident of the United States. State data **shall not** be stored, accessed from, or transmitted to outside of the United States without State’s written permission provided in advance. State retains the right, from time to time, to designate certain subsets of State data as being subject to additional storage, access, or transmission restrictions at its sole discretion.

1.1 OVERVIEW

The Alabama Law Enforcement Agency (ALEA) desires to procure via an open and competitive solicitation an CCH solution (Solution) to ensure that the State is getting the best value for the required Work, which includes replacing its existing Computerized Criminal History System (CCH).

This will be a Contractor managed Solution, which **shall** include all hardware and software including maintenance releases. Contractor **shall** supply all levels of technical support set forth in the Contractor developed Service Level Plan, which **shall** meet all service level requirements, and additionally include the provision and maintenance of all network connectivity from the State of Alabama point of presence (Montgomery) to the primary system facility as well as to the DR/COOP site.

The scope of work to be provided by Contractor under the Agreement consists of two phases: System Implementation and System Operation, each detailed in its own SOW. It is the State’s desire that this solution be implemented and accepted in a timeframe not greater than 24 months from contract signing.

This Statements of Work will be the basis for a Project Management Plan and a Project Schedule

Also defined herein are those Tasks and Subtasks that involve participation of both Contractor and State. Unless otherwise specified as an obligation of the State, Contractor **shall** perform all Tasks and Subtasks and provide all Deliverables as defined herein. Deliverables will only be deemed complete upon State’s approval and acceptance, irrespective of the number of attempts it takes Contractor to provide a successful Deliverable.

Contractor **shall** be responsible for furnishing all personnel, facilities, equipment, material, supplies, and support and management services and **shall** perform all functions necessary to satisfy the requirements of this SOW and the CCH Requirements set forth in Attachment A (CCH Specifications) of the RFP. All of System Requirements, whether specifically referenced or not in this SOW, **shall** apply to Contractor’s deliverables under the resultant Agreement.

The following Exhibit is attached to and form a part of this Statement of Work:

Exhibit IMP SOW 1 – PROJECT DELIVERABLES

1.2 PROJECT OBJECTIVES

1.2.1 SCOPE OF WORK

The objective of the RFP is to select a Contractor who will be able to provide, implement and support the State a CCH technology solution (CCH) with the following goals:

- Provide CCH and web service standards based on open architecture that:
 - Enables implementation of state-of-the-art CCH applications and workflows including

integration with the current Automated Biometric Identification System (ABIS).

- Enables the incremental enhancement/addition/replacement of applications and workflows for any added functionality made available by the FBI, NCIC and III.
- Allows selection of best-of-breed applications from different offerors; if appropriate, and provides for use of non-proprietary hardware, database software and open-standards application software interfaces.
- Stores integrated subject arrest, charge and disposition data that enable online inquiries and reporting based on integrated subject criminal history data.
- Be sized for planned growth.
- Utilizes ANSI/NIST/FBI/NIEM record constructs.
- Conforms to any applicable federal CCH standards.
- Uses Commercial Off-The-Shelf (COTS) hardware and software.
- Provides configurable administrative controls.
- Manages the orchestration and transaction integrity of all sub-components of the CCH Solution.
- Manages and controls person data using subject state and transaction (and other) identifiers as keys.
- Provides efficient and cost-effective storage and retrieval.
- Detects and notifies when systems, applications, equipment, or networks are interrupted or when there is a loss of power.
- Provides an operational State-approved disaster recovery site or option.
- Provides for migration of CCH data from already existing legacy State systems, wherein limited State resources will be available for this effort.
- Provides management of the necessary network between the vendor data centers and the ALEA point of presence (ALEA CCH Datacenter).
- The following sections of this document define the specific Statement of Work elements to achieve the above outlined operational goals.

1.2.2 PROJECT MANAGEMENT

Vendor **shall** provide full project management, planning, monitoring, supervision, tracking and control of all project activities during the term of the resultant Agreement. Vendor **shall** employ project management industry standards and practices in the performance of all Work.

1.3 DOCUMENT REFERENCES

1.3.1 COMPLIANCE DOCUMENTS

Referenced or applicable documents cited within the resultant Agreement, including this SOW, **shall** be considered compliance documents for the purpose of the Agreement. Vendor will continue to provide sustainment upgrades and support during the life of the agreement to reasonably ensure the solution is up-to-date and meets CJIS and standards compliance. The State and vendor recognize that some of the compliance documents and their associated data items listed below (notably in section 1.3.2 - Specifications, Standards and Guides) may change. Throughout the term of the Agreement, Vendor or State may propose compliance with newer documents and their associated data items that replace or supersede those identified in this list. To substitute newer documents and their associated data items, in order to analyze and assess the potential impact and cost of these modifications, Vendor **shall** perform all of the following, in the order as listed for the document or standard under consideration:

1. Identify existing standards and data items to be replaced.
2. Identify new documents and associated data items proposed for use.
3. Provide/present an analysis and rationale for making any/all changes using the new items including cost, schedule, performance, and supportability impact; and
4. Receive State approval.

1.3.2 SPECIFICATIONS, STANDARDS AND GUIDES

The following documents identified in this section below constitute the specifications, standards and guides serving as the core reference materials for the CCH:

- Current Environment Overview, included as Attachment D to the RFP
- CCH Specifications, including those identified in Attachment A (CCH Specifications) to the RFP
- FBI Criminal Justice Information Services (CJIS) CJISD-ITS-DEL-08140-5.9, CJIS Security Policy, Version 5.9, dated June 2020.

2 – System Implementation Tasks and Deliverables

This section of the SOW, together with Exhibit IMP SOW 1 – Project Deliverables, provides a detailed description of the Scope of Work to be performed by Contractor throughout the System implementation phase (“System Implementation Phase” or “Phase 1”) of the Agreement, including CCH development, implementation, and testing.

Task 1 – Project Administration

The provisions of this Task 1 – Project Administration describe the requirements for the project management functions to be performed by Contractor during the System Implementation phase of the Agreement. Contractor **shall** document management organization, roles and responsibilities, resources, processes, and other pertinent management information in project plans (“Project Plan(s)”), including a Project Management Plan [DEL-01] and Integrated Master Schedule (IMS) [DEL-03] and **shall** maintain such plans current as necessary throughout the System Implementation phase.

SUBTASK 1.1 – DEVELOP PROJECT PLANS

Contractor **shall** review the System Requirements with State’s Project Manager. Based upon that review, Contractor **shall** have the primary responsibility of preparing a project plan document (“Project Management Plan”) [DEL-01] and submitting it for written approval to State’s Project Manager. State **shall** work closely with Contractor during the preparation of the Project Management Plan. State **shall** reserve the right of approval / rejection in requiring an order of tasks and deliverables and/or a dependency of certain tasks and deliverables to other related tasks and deliverables.

Note: It is the State’s desire that this solution be implemented and accepted in a timeframe not greater than 24 months from contract signing.

Additionally, Contractor **shall** develop an IMS [DEL-03]) and keep it current throughout the System Implementation phase of the Agreement. The IMS **shall** be resource-loaded and **shall** include, at a minimum, all activities required under this Statement of Work, including all management and technical reviews. The IMS **shall** identify activities by applicable Site (Primary Site and COOP Site). The IMS **shall**

identify any schedule margin/reserve. The IMS **shall** provide sufficient detail to demonstrate confidence that the schedule is complete and realistic. The IMS **shall** identify due dates associated with any State-furnished items (e.g., information, data, facilities access) and due dates associated with all Contractor Deliverable items.

DELIVERABLE 1.1 – PROJECT PLANS

Contractor **shall** provide 30 days for State’s approval of the Project Management Plan [DEL-01] developed in State-specified version of Microsoft Project (currently 2010), which **shall**, at a minimum, include the following:

1. All Work described in this Statement of Work and elsewhere in the Agreement including:
 - a. All Deliverables, including those referenced in the Pricing Schedule,
 - b. All Tasks, Subtasks, Deliverables, and other Work,
 - c. Associated dependencies, if any, among Tasks, Subtasks, Deliverables, and other Work,
 - d. Resources assigned to each Task, Subtask, Deliverable and other Work,
 - e. Start date and date of completion for each Task, Subtask, Deliverable and other Work,
 - f. Proposed State review period for each Deliverable,
 - g. Proposed Milestones.
2. Identification of all Contractor Key Personnel and Contractor Key Staff; including a resource management plan and the number of years of experience by role for each member of the team along with complete resumes.
3. A Deficiency management plan, documenting the approach to Deficiency management, including methodology, recommended tool(s) and escalation process;
4. Approach to project communications;
5. A risk management plan, documenting the approach to risk analysis (e.g., the evaluation of risks and risk interactions to assess the range of possible project outcomes), risk mitigation (e.g., the identification of ways to minimize or eliminate project risks), risk tracking/control (e.g., a method to ensure that all steps of the risk management process are being followed and, risks are being mitigated effectively) and clearly establishing a process for problem escalation, to be updated, as needed, throughout the term of the Agreement;
6. Initial identification of risks that may impact the timely delivery of the Solution;
- 7.
8. Configuration and change management plan. Changes, in this context, refer to changing the functionality of, or adding additional functionality (e.g., changes to the project scope) to, any Solution component. The approach **shall** ensure that the impact and rationale for each change are analyzed and coordinated prior to being approved; and
9. Deliverable Acceptance Criteria which **shall** be based on the terms of the resultant Agreement, including the Statement of Work and the actual tasks being completed, and **shall** include all documentation, whether stated in the SOW or not, that is consistent with good analytical practices, as determined by State.

Contractor **shall** prepare and provide to State a finalized Project Management Plan pursuant to Subtask

1.1 – Develop Project Plans. The Project Plan may be modified only if such modification has been approved in advance in writing by State’s Project Manager. The Project Management Plan **shall** be the basis for the Project Schedule, which **shall** be updated upon finalization of the Project Management Plan and **shall** be attached to the resultant Agreement as an exhibit (Project Schedule).

Contractor **shall** also develop an IMS, which **shall** include the activities required under this Statement of Work, as provided in Subtask 1.1 – Develop Project Plans.

The Deliverables required to be provided by Contractor under this Deliverable 1.1 – Project Plans **shall** include:

- DEL-01: Project Management Plan
- DEL-03: Integrated Master Schedule
- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes.

Table 1 – Management and Technical Reporting and Reviews

Review	Location
Project Kickoff Meeting	State Facility
System Requirements Review	State Facility
System Design Review	State Facility
Product Test Readiness Review	Contractor’s Facility
Pre-Ship Review	Contractor’s Facility
System Test Readiness Review	State Facility
Operational Readiness Review	State Facility
Final Acceptance Review	State Facility
Project Management Reviews	State Facility

SUBTASK 1.2 – PREPARE STATUS REPORTS AND CONDUCT CONFERENCES

Contractor **shall** provide ongoing project administration, which **shall** include, but not be limited to, the following:

1. Monthly written Project Plan update reports;
2. Weekly status update conference calls;
3. Attending meetings with State Executives and Management as needed; and

4. Updates to the Project Management Plan and the Project Schedule.

Contractor's Project Manager **shall** provide full project management and control of project activities. Contractor's Project Manager **shall** present to State's Project Manager written status reports documenting project progress, plans and outstanding issues. Contractor's Project Manager **shall** meet with or conduct a status update conference with State's Project Manager on a weekly basis, or as otherwise agreed to by State and Contractor, to review project status reports and any related matters. All variances **shall** be presented to State for approval or corrective action at the status meetings. The first report **shall** be presented to State's Project Manager one (1) week following the Effective Date of the Contract (Agreement) in a format approved by State. This Subtask 1.2 – Prepare Status Reports and Conduct Conferences **shall** include, but not be limited to:

1. Project planning and direction;
2. Contractor staffing and personnel matters, including management of Contractor technical staff;
3. Evaluation of results and status reporting;
4. Incorporation of State's System Requirements, including, but not limited to, all business, functional and technical requirements;
5. Incorporation of required software modification, if any; and
6. Management and tracking of all issues and their resolution.

Contractor's Project Manager **shall** report project status on a regular basis to the State's Project Manager and **shall** participate in monthly status meetings with the State's Project Manager. The project and reporting system **shall** include, but not be limited to, the following components:

1. Kick off meeting;
2. Updated Project Plan; and
3. Status reports and meetings or teleconferences.

The project status reports prepared by Contractor's Project Manager pursuant to this Subtask 1.2 – Prepare Status Reports and Conduct Conferences **shall** be used as the mechanism for Contractor to report any project risks or problems identified as part of the implementation process.

DELIVERABLE 1.2 – COMPLETE STATUS REPORTS AND CONFERENCES

Contractor's Project Manager **shall** prepare and present to State's Project Manager written status reports documenting project progress, plans and outstanding issues in accordance with Subtask 1.2 – Prepare Status Reports and Conduct Conferences. Contractor's Project Manager **shall** meet with or conduct a status update conference with State's Project Manager, as agreed to by State and Contractor, to review project status reports and any related matters. All variances **shall** be presented for approval by State at the status conferences. The first report **shall** be presented to State's Project Manager one (1) week following the Effective Date of the contract, in a format approved by State.

Task 2 – System Setup

The Subtasks below provide for the setup and security of the future CCH environment.

SUBTASK 2.1 – PROVIDE DATA AND PROPERTY MANAGEMENT

Contractor **shall** develop, document, and implement comprehensive procedures for the management of

data, documentation, and State property (equipment, hardware and software that belongs to State). Data management **shall** encompass all data and documentation produced by Contractor under the Agreement, procured by Contractor under the Agreement, and received from State for use on the Agreement.

DELIVERABLE 2.1 – DATA AND PROPERTY MANAGEMENT

Contractor **shall** provide in accordance with Subtask 2.1 – Provide Data and Property Management the following Deliverable(s) for this component of the SOW:

- DEL-32: Data and Property Management Plan

SUBTASK 2.2 – IMPLEMENT SYSTEM SECURITY

Contractor **shall** implement a security program in compliance with the CJIS Security Policy referenced in 1.3.2 – Specifications, Standards and Guides above. All Contractor supplied facilities or systems **shall** provide protection and control of all State information and equipment. Contractor **shall** document in accordance with Subtask 2.2 – Implement System Security its security program in an In-Plant Security Plan, as provided in the following Deliverable(s) for this component of the SOW:

- DEL-10: In-Plant Security Plan.

Task 3 – System Implementation

Contractor **shall** implement, test and support State’s Acceptance of the technology to be utilized in the provision of Work as provided in the System Requirements. All products, services and systems developed and/or delivered by Contractor **shall** comply with the System Requirements and the standards and guides set forth in 1.3.2 – Specifications, Standards and Guides.

Contractor **shall** provide all equipment and software necessary to satisfy the System Requirements at the proposed State operational Primary Site and the proposed Continuity of Operations Disaster Recovery site (“COOP Site”). Contractor **shall** provide all necessary software licensing (including all software that can be operated on authorized devices outside or remote to the headquarters building to access the CCH system) to provide an equal level of service and functionality as replacement of all Existing Equipment under the Current Maintenance Agreement, including, as applicable, servers, communications gear, workstations, printers and other equipment identified in the System Requirements.

Contractor **shall** provide State with a comprehensive set of user, system and management documentation. Contractor **shall** deliver those items identified in the list of Deliverables set forth in Exhibit IMP SOW 1 – **PROJECT DELIVERABLES** to this Appendix B. Contractor **shall** provide the documentation in both electronic and hard-copy formats. All Deliverables **shall** be subject to State approval and Acceptance in order to satisfy the terms and conditions of the Agreement.

SUBTASK 3.1 – CONDUCT SYSTEM REQUIREMENTS REVIEW

Contractor **shall** conduct a System Requirements Review (“SRR”). Upon completion of the SRR, based on the results of the System Requirements definition activity, Contractor may recommend changes to the State System Requirements Specifications for consideration by State.

Contractor **shall** analyze State’s System Requirements and validate the requirements of the specifications. Contractor **shall** document the deficiencies in State’s System Requirements, if any, and recommend changes to the areas in which those changes would correct deficiencies or otherwise benefit the State (e.g., enhance the overall functionality, performance or reliability of systems or services; reduce costs; shorten the schedule; or reduce project risk).

Contractor **shall** document any recommended changes to State’s System Requirements Specifications and support these recommendations (e.g., with cost-benefit analyses).

Contractor **shall** provide to State a baselined System Requirements Specifications and label it [DEL-02] and the rationale for any recommended changes. Contractor **shall** update State’s System Requirements Specifications with any changes resulting from actions assigned by State as a result of the SRR and all approved changes.

DELIVERABLE 3.1 – SYSTEM REQUIREMENTS SPECIFICATIONS

Contractor **shall** provide in accordance with Subtask 3.1 – Conduct System Requirements Review the following Deliverable(s) for this component of the SOW:

- DEL-02: System Requirements Specifications
- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes.

SUBTASK 3.2 – PERFORM SYSTEM DESIGN AND DEVELOPMENT

Contractor **shall** design and develop the System to satisfy the System Requirements Specifications [DEL-02] and meet the required standards specified in 1.3.2 – Specifications, Standards and Guides. Contractor **shall** design, develop, and produce or procure all hardware, software and data components of the System, with the exception of the operational data that is to be provided by State.

Contractor **shall**, to the maximum extent possible, use non-proprietary hardware and software in developing and implementing the CCH. To the maximum extent possible, equipment for authorized devices outside or remote to the headquarters building to access the CCH system recommended by Contractor must be available commercially from third-party offerors as well as through Contractor, subject to installation of CCH Software, which **shall** be controlled by provider alone.

Contractor **shall** conduct a System Design Review (“SDR”) and present to State for approval. The System Design [DEls – 12, 13, 14, & 15] **shall**:

- Be complete down to the line replaceable unit (“LRU”) level for all hardware items and through the computer software unit (“CSU”) level for all developed software;
- In the case of commercial off-the-shelf (COTS) software, be complete through the level of licensed software products (“LSP(s)”);
- Identify the functions performed by, performance required of and interfaces supported by each CSU (for developed software) and each LSP (for COTS software);
- Document the number and interconnection of all LRUs and identify the software components loaded on each LRU;
- Document the bandwidth, memory and throughput of each LRU;
- Describe the interfaces supported by each CSU, LSP and LRU;
- Specify any standards with which each CSU, LSP and LRU complies; and
- Include complete workflows for all operational user and administrative functions.

As part of the SDR, Contractor **shall** present evidence (e.g., results of analyses, computer model and simulation results, benchmark results and offeror-supplied specifications) to demonstrate that the design satisfies the requirements of State’s System Requirements Specifications [DEL-02] and the required

standards set forth in 1.3.2 – Specifications, Standards and Guides. Contractor **shall** deliver a Requirements Verification Traceability Matrix [DEL-30] documenting mapping between (i) the requirements contained in the System Requirements Specifications and the major subsystems or components of the design, and (ii) the requirements contained in the System Requirements Specifications and the methods of verification indicated in Contractor's response to the System Requirements Specifications set forth in Appendix C (System Requirements Specifications and Response forms) to the RFP.

Upon successful conclusion of the SDR and written approval of the design by State, Contractor may begin development and/or procurement of System software and hardware.

DELIVERABLE 3.2

Contractor **shall** provide in accordance with Subtask 3.2 – Perform System Design and Development the following Deliverable(s) for this component of the SOW:

- DEL-05: Migration Plan
- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes
- DEL-12: Database Design Document
- DEL-13: Interface Design Document
- DEL-14: System Design Document
- DEL-15: Bill of Materials
- DEL-17: Training Plan
- DEL-18: Installation Drawings
- DEL-22: COOP Plan
- DEL-30: Requirements Verification and Traceability Matrix.

Task 4 – Conduct Acceptance Tests

The CCH is a complex software-based system that has many attributes that must be tested. Of critical concern is the appropriate test regimen to follow to ensure that all appropriate aspects are tested in a reasonable sequence. In order to understand the CCH testing area, there is a need for a common vocabulary. The purpose of testing will be to verify that Contractor's product meets or exceeds all System Requirements Specifications [DEL-02].

Contractor **shall** develop and execute a comprehensive test program, spanning all phases of development and all levels of assembly of the system(s). Contractor **shall** develop a Test and Evaluation Master Plan (TEMP) [DEL-04], which **shall**:

- Govern all levels of testing, from the unit level through the fully assembled and integrated (with external systems) system;
- Govern all phases of testing, from unit testing through completion of system acceptance;
- Govern formal user acceptance testing; and
- Include the coordinated and complete testing with existent interfaces with the new CCH, understanding that acceptance testing at each stage from Factory Acceptance Test through to User Acceptance Test will not be considered by the State to have been completed until CCH and State Message Switch (SMS) components are successfully tested together.

For unmodified COTS hardware and software, COTS offeror-supplied test results may be substituted for verification of requirements below the level of the fully integrated system.

The purpose of the Factory Acceptance Test (“FAT”) is to ensure that the basic capabilities are available and work in a factory setting, and that the documentation associated with the System reflects the design and is usable (e.g., one typically uses the start-up and shut-down procedures to verify that they can be used, as written, to perform the intended function). These tests are oriented toward verifying as much functionality, hardware, interface requirements, performance requirements, accuracy requirements and documentation as possible.

FAT is typically run with scripts to ensure agreement among the stakeholders on the input and expected results and that the tests are repeatable. After successful passage of the FAT at Contractor’s facility, Contractor will be given permission to ship the System to the Operational Site(s).

The converted CCH database will be audited as part of the primary site configuration FAT.

SUBTASK 4.1 – CONDUCT FACTORY ACCEPTANCE TEST

Contractor **shall** conduct FAT for the fully assembled and integrated System for both the Primary Site and the COOP Site (disaster recovery site) levels. FAT **shall** include all tests necessary to confirm that all requirements of the System Requirements Specifications [DEL-02] have been satisfied and to demonstrate compliance with required standards listed in 1.3.2 – Specifications, Standards and Guides. FAT **shall** also include all tests necessary to demonstrate satisfaction of those requirements from any (provider-developed) subordinate specifications.

Contractor **shall** prepare a FAT Plan [DEL-28] and FAT Procedures [DEL-21] and submit them for approval. Contractor will prepare the FAT Plan in cooperation with State. The Contractor **shall** conduct FAT in accordance with the approved FAT Plan [DEL-28] and FAT Procedures [DEL-21]. FAT may be conducted as a part of integration testing or as a separate phase of the test program, subject to State approval. Contractor **shall** conduct Product Test Readiness Reviews (“PTRR(s)”) prior to the conduct of FAT. State will witness the execution of all FAT activities.

The results of FAT **shall** be documented in a FAT Report(s) [DEL-06]. Contractor **shall** conduct a Pre-Ship Review [PSR] to demonstrate the FAT success, to determine the readiness of the system(s) for delivery first to State’s Primary Site and then secondly to the COOP Site and to secure State authorization to ship the System components and configurations.

DELIVERABLE 4.1 – FACTORY ACCEPTANCE TESTING

Contractor **shall** provide in accordance with Subtask 4.1 – Conduct Factory Acceptance Test the following Deliverable(s) for this component of the SOW:

- DEL-06: FAT Test Report
- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes
- DEL-16: Installation Plan
- DEL-18: Installation Drawings
- DEL-19: Training Materials
- DEL-21: FAT Test Procedures
- DEL-22: FAT COOP Plan
- DEL-26: Version Description Document
- DEL-28: FAT Test Plan.

SUBTASK 4.2 – CONDUCT SYSTEM ACCEPTANCE TEST

The purpose of the System Acceptance Test (“SAT”), which is also known as System-level Integration Test (“SIT”), is:

- To demonstrate that the equipment was installed correctly and operates at the functional and performance levels verified at FAT;
- To verify the requirements that could not be verified at the factory acceptance testing;
- To verify the performance requirements (throughput, accuracy, and reliability) with the full initial data load, multiple workstations, etc., to the extent that they have not already been signed off on at FAT; and
- To verify that the integrated sum is at least as functional as the sum of the individual parts and to verify that end-to-end workflows execute as anticipated – the actual verification of the correctness of the end-to-end workflows, to include all the processing at each step, is normally deferred to UAT.

The SAT is also script-based, with scripts built up from those used at FAT, ensuring that all additional requirements are allocated to specific test scenarios and that the scripts still ensure repeatability. Repeatability often requires cleaning out files and buffers that were changed as the result of a test step when the changed data is no longer needed by the system.

The SAT will include COOP activities. The minimum COOP activities that must be demonstrated include backing up and restoring data as well as using the COOP Site for primary processing, then restoring the entire system, ensuring that the repositories and matchers are current and identical across the two sites. Verification of the COOP related procedures will be a critical part of the SAT.

Contractor will prepare the SAT Plan in cooperation with State. Contractor **shall** prepare SAT Procedures [DEL-21] and submit them for State approval. Contractor **shall** conduct the SAT in accordance with State approved SAT Plan and approved SAT Procedures [DEL-21]. Contractor **shall** conduct a System Test Readiness Review (“STRR”) prior to the conduct of the SAT. State will witness the execution of all SAT(s) and retain the right to determine the success / failure status of individual SAT tests.

Contractor **shall** document the results of the SAT in the SAT Report(s) [DEL-06]. Upon completion of the

SAT, Contractor **shall** conduct an Operational Readiness Review (“ORR”) to permit the State to determine the readiness of the system(s), facilities and personnel to initiate the UAT and to secure State authorization to initiate operations.

DELIVERABLE 4.2 – SYSTEM ACCEPTANCE TESTING

Contractor **shall** provide in accordance with Subtask 4.2 – Conduct System Acceptance Test the following Deliverable(s) for this component of the SOW:

- DEL-06: SAT Test Report
- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes
- DEL-15: Bill of Materials (for documentation purposes)
- DEL-16: Installation Plan
- DEL-17: Training Plan
- DEL-18: Installation Drawings
- DEL-19: Training Materials
- DEL-21: SAT Test Procedures
- DEL-22: SAT COOP Plans
- DEL-26: Version Description Document
- DEL-28: SAT Test Plan

SUBTASK 4.3 – CONDUCT USER ACCEPTANCE TEST

The purpose of UAT is final validation of the required business functions and flow of the system, under real-world usage of the System by demonstrating that the delivered products and services are adequate for their intended purpose. UAT procedures will include both scripts and normal operations to see how the end-to-end work flows operate across the entire system, to include the interfaces to the FBI. UAT will be planned to provide a realistic and adequate exposure of the System to all reasonably expected events. This includes things that might not happen in a normal period, such as a full backup and restore, switchover to the COOP Site and a full suite of report generation events.

By this point in project, State and Contractor will have verified most or all of the accuracy, performance and capacity requirements. UAT will not be focusing on System problems (e.g., reporting misspellings or software crashes), as those issues will be required to have been corrected by then.

Contractor **shall** prepare a UAT Plan. The UAT Plan will be reviewed and approved by State. State staff will conduct UAT. Contractor **shall** provide the facilities, equipment and personnel to support the services identified in Phase 2 of this CCH SOW during UAT. Contractor **shall** provide the facilities, equipment and personnel to analyze results of concurrent operations, to identify discrepancies between results of the legacy system(s) and results of Contractor delivered CCH system(s), to resolve those discrepancies and, when those discrepancies result because of a failure of Contractor-delivered system(s), to meet the requirements, and to perform corrective maintenance.

DELIVERABLE 4.3 – USER ACCEPTANCE TESTING

Contractor **shall** provide in accordance with Subtask 4.3 – Conduct User Acceptance Test the following Deliverable(s) for this component of the SOW:

- DEL-06: UAT Test Report
- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes
- DEL-21: UAT Test Procedures
- DEL-22: UAT COOP Plan
- DEL-26: Version Description Document
- DEL-28: UAT Test Plan

Task 5 – System Migration

The Subtasks below in this Task 5 – System Migration describe the migration requirements for the CCH Operational Environment.

SUBTASK 5.1 – INSTALL SITES

Contractor **shall** conduct site surveys and analyses to determine the facilities requirements (e.g., heating, air-conditioning, lighting, electrical power, structural loading and physical access) for the facilities housing the replacement equipment at the Primary & COOP Sites. Contractor **shall** document any incompatibilities between the CCH equipment to be installed and the facilities or networks and identify in an Installation Survey Report [DEL-27] any required facilities or network modifications to be made by State.

Contractor **shall** prepare a Version Description Document with the complete instructions necessary to install and configure all hardware, software and data associated with each deployment. The document will include site-specific installation information [DEL-27].

Contractor **shall** prepare an Installation Plan [DEL-16] to document the necessary installation tasks, responsibilities, schedule, resource requirements, equipment layout, cabling and testing to verify correct installation of equipment and software at the Primary Site and COOP Site. Contractor **shall** prepare Installation Drawings [DEL-18] to define equipment layout and cabling.

Contractor **shall** (subject to State approval) deliver and install the equipment and software deliveries at the Primary Site and COOP Site. Contractor **shall** check the installation and perform the necessary data conversions to prepare the equipment and software to support all testing and operations.

DELIVERABLE 5.1 – INSTALL SITES

Contractor **shall** provide in accordance with Subtask 5.1 – Install Sites the following Deliverable(s) for this component of the SOW:

- DEL-16: Installation Plan
- DEL-18: Installation Drawings
- DEL-26: Version Description Document
- DEL-27: Installation Survey Report

SUBTASK 5.2 – CONVERT AND LOAD DATA

Production of the Operational Database will involve: (1) the conversion of the legacy database and (2) the loading of this data into the Operational Database.

SUBTASK 5.2.1 – CONVERT EXISTING DATA

Contractor **shall** ingest and process all existing electronic records and load them to the appropriate internal database format. All offerors **shall** affirmatively state their understanding of this note.

DELIVERABLE 5.2.1 – CONVERTED EXISTING DATA

Contractor **shall** provide in accordance with Subtask 5.2.1 – Convert Existing Data the following Deliverable(s) for this component of the SOW:

- 2 copies of converted Existing Data.
- A Data Dictionary of the converted data and new production database.

SUBTASK 5.2.2 – LOAD DATA

Contractor **shall** load all of the records into the appropriate databases onto the System at the Primary Site and the COOP Site with the appropriate SID or identifying information.

Contractor **shall** deliver two (2) copies of the output media for future use by State in any system or process of its choosing. As part of this task, Contractor **shall**:

At the end of the initial data load, Contractor **shall** produce a detailed report in accordance with the following requirements:

- The number of records converted, to include a count of the converted records.
- Any problems encountered, by record number (i.e., any conversion assigned number), SID, problem type, and resolution.
- All records not successfully converted by record number and TCN and SID, if available.
- The results of a conversion audit.

DELIVERABLE 5.2.2 – LOADED DATA

Contractor **shall** provide in accordance with Subtask 5.2.2 – Load Data the following Deliverable(s) for this component of the SOW:

- Copies of data as noted above, to include the loaded files.

SUBTASK 5.3 – CONDUCT MIGRATION PLANNING

Contractor **shall** develop a Migration Plan [DEL-05] that identifies the activities, events and resources (tools, data, facilities, personnel and other resources) required to migrate from the legacy CCH System to the replacement CCH environment provided under the Agreement. The plan will identify the sources (i.e., Contractor, State Site) of all resources and specify when those resources will be required, bearing in mind that ALEA has limited resources available for the purposes of for data migration or conversion.

DELIVERABLE 5.3 – MIGRATION PLAN

Contractor **shall** provide in accordance with Subtask 5.3 – Conduct Migration Planning the following Deliverable(s) for this component of the SOW:

- DEL-05: Migration Plan (initiated above).

Task 6 – Conduct System Training

Contractor **shall** develop User Manuals [DEL-11] addressing all user functions for all user types (e.g., data entry staff, system administrators, maintenance personnel). User documentation **shall** describe the components, functions and operations of each server and workstation type. Operations descriptions **shall** include a list and description of all error conditions, as well as the associated error messages displayed and the action required of the operator for each error condition. Each CCH workstation **shall** be provided with online user documentation that will be resident on the workstation or accessible via the agency's internal networks as well as a paper-based copy.

DELIVERABLE 6 – SYSTEM TRAINING AND MATERIALS

Contractor **shall** prepare a Training Plan [DEL-17] and Training Materials [DEL-19] in accordance with Task 6 – Conduct System Training, including, via example, computer-based training, videos, guides and manuals, and conduct on-site user training as required to support testing, deployment and operations.

Contractor **shall** minimally conduct two (2) types of courses as follows:

- Data Entry Workstation Baseline – This course will cover all CCH entry and maintenance functionality associated with the new CCH. The course will provide hands-on instruction on the workstation for CCH entry and maintenance processing. “Hands-on” requires that each student have access to a fully functional workstation and training database during the training sessions. The course will cover CCH work flows, displays, data entry, quality assessment, and all functionality. In addition, the course will cover the basic and administrative user functions of the archive. This course will need to be conducted enough times initially to accommodate approximately 60 staff, with no more than 5 per running.
- ALEA Administration, Managers and Supervisors – This course will cover CCH Management functions. The course will provide hands-on instruction on accessing and producing management reports, creating user accounts, and performing audits and inquiries using the tools provided by the System.

Should State Sites reasonably require additional training beyond that required above, such training will be provided at no additional cost to the State.

Task 7 – Conduct Remaining Migration Tasks

The Subtasks below provide the remaining elements that need to be addressed during System Implementation in order to complete the migration to the System.

SUBTASK 7.1 – MANAGE SYSTEM CONFIGURATION

Contractor **shall** document and implement plans [DEL-29] for performing configuration control. Configuration control performed by Contractor **shall** accomplish the following:

- Establish a controlled configuration for each hardware and software component at the Primary Site and the COOP Site;
- Maintain current copies of the deliverable documentation and code;
- Give State access to the documentation and code under configuration control; and
- Control the preparation and dissemination of changes to the master copies of the deliverable software and documentation placed under configuration control so that they reflect only approved changes.

Contractor **shall** generate management records and status reports on all products composing the controlled configuration for each hardware and software component at the Primary Site and the COOP Site. The status reports **shall**:

- Make changes to controlled products traceable;
- Serve as a basis for communicating the status of configuration identification software; and
- Serve as a vehicle for ensuring that delivered documents describe and represent the associated software.

Contractor **shall** participate in State configuration control meetings. State configuration control meetings will establish and control the requirements baseline [DEL-02] throughout the performance of the Agreement and will control the operational baseline (deployed hardware, software, databases and documentation) once the CCH becomes operational.

DELIVERABLE 7.1 – SYSTEM CONFIGURATION PLAN

Contractor **shall** provide in accordance with Deliverable 7.2 – System Configuration Plan the following Deliverable(s) for this component of the SOW:

- DEL-29: Configuration Management Plan.

SUBTASK 7.2 – CONTINUITY OF OPERATIONS PLANNING

Contractor **shall** perform the necessary planning; deliver a COOP Plan [DEL-22]; provide or utilize the necessary facilities, equipment, supplies, data and documentation; and conduct the training necessary to establish a viable COOP Plan capability that ensures the performance of Contractor's essential functions during any emergency or situation that may disrupt normal operations and leave the Primary Site facilities damaged or inaccessible.

The purpose of COOP planning is to assure that the capability exists to continue essential provider functions across a variety of potential emergencies as well as when maintenance or upgrade activities might impact CCH system use. A COOP Plan should account for:

- Ensuring the continuous performance of State's essential functions/operations during an emergency;
- Protecting essential facilities, equipment, records and other assets;
- Reducing or mitigating disruptions to operations; and
- Achieving a timely and orderly recovery from an emergency and resumption of full service to customers.

The COOP capabilities provided by Contractor under this Agreement **shall** be:

- Maintained as an active-active site;
- Capable of providing 100 percent of the CCH services (in the event of the loss of the Primary Site) both with and without warning/scheduling; and
- Continuously operational in a load-balanced environment during normal operations.

At a minimum, the COOP Plan provided by Contractor **shall** contain the following:

- Plans and procedures
- Identification of essential functions
- Alternate facilities
- Interoperable communications
- Vital records and databases
- Tests, training and monthly exercises/drills.

The COOP Plan should be developed and documented to ensure that, when implemented, it will provide for continued performance of essential State functions under all reasonably foreseen circumstances. At a minimum, the COOP Plan **shall** also:

- Delineate essential functions and activities.
- Outline a decision process for determining appropriate actions in implementing COOP plans and procedures.
- Establish a roster of fully equipped and trained emergency provider and State personnel with the authority to perform essential functions and activities.
- Include procedures for employee advisories, alerts, and COOP Plan activation, with instructions for relocation to predesignated facilities, with and without warning, during duty and non-duty hours. This includes providing for personnel accountability throughout the duration of the emergency and providing for continuous operational status in an active-active environment.
- Establish reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations similar to that of the primary site for up to 30 days.

Essential functions are defined as those functions that enable Contractor to provide vital services, under all circumstances.

DELIVERABLE 7.2 – COOP PLAN

Contractor **shall** provide in accordance with Subtask 7.3 – Continuity of Operations Planning the following Deliverable(s) for this component of the SOW:

- DEL-22: COOP Plan.

Upon the successful completion of Tasks 4.3 (UAT) through 7.2 (COOP Plan), State will conduct a Final Acceptance Review (“FAR”) to determine whether Contractor has satisfied the terms and conditions of this SOW and to Accept the System into operations. The determination will be based upon the delivery of deliverables and plan items that comply with the requirements of the Agreement, the satisfactory performance of all SOW activities and the successful demonstration (through the FAT, SAT, and UAT process) that the delivered systems and data satisfy the requirements of the System Requirements

Specifications [DEL-02].

Exhibit IMP SOW 1 – Project Deliverables

During the System Implementation Phase of the Agreement, Contractor **shall** deliver those Deliverables identified and listed in the Deliverable Table below. All Deliverables **shall** be subject to State approval and Acceptance in order to satisfy the terms and conditions of the Agreement.

During the System Operation Phase of the project, Contractor **shall** provide State with a comprehensive set of user, system, training, and management documentation. Contractor **shall** supply documentation in both electronic and hard-copy formats. User documentation **shall** describe the components, functions and operations of each workstation type. Each CCH workstation **shall** be provided with online user documentation that is resident on the workstation or accessible via the agency's internal networks.

In addition, Contractor **shall** deliver those items identified in Deliverable Table below.

Document No.	Deliverable/Plan Title	Delivery Dates
DEL-01	Project Management Plan	With proposal and with update – within 30 days after the Effective Date of the Agreement.
DEL-02	System Specifications	At System Requirements Review.
DEL-03	Integrated Master Schedule	With proposal and with update at Project Management Reviews.
DEL-04	Test and Evaluation Master Plan	With proposal and with update – within 30 days after the Effective Date of the Agreement.
DEL-05	Migration Plan	At System Design Review.
DEL-06	Test Report – several sets, each corresponding to the outcomes of Factory Acceptance Test, System Acceptance Test and User Acceptance Test	For each increment, at Pre-Ship Review and Operational Readiness Review.
DEL-07	Agenda	Prior to a meeting.
DEL-08	Presentation Materials	Draft – five (5) Business Days prior to a meeting, with updates – at the meeting and final – as part of DEL-09.

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Document No.	Deliverable/Plan Title	Delivery Dates
DEL-09	Minutes	Draft – two (2) Business Days after the meeting, with final – five (5) Business days after receipt of State comments.
DEL-10	In-Plant Security Plan	With proposal and with update – within 30 days after the Effective Date of the Agreement.
DEL-11	User Manuals	At each training session and for online reference.
DEL-12	Database Design Document	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and Final as part of DEL-09.
DEL-13	Interface Design Document	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and final – as part of DEL-09.
DEL-14	System Design Document	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and final – as part of DEL-09.
DEL-15	Bill of Materials	At System Design Review with updates – at Pre-Ship Review.
DEL-16	Installation Plan	For each delivery, at Product Test and Readiness Review or 12 weeks prior to installation, whichever is earlier, with updates – at Pre-Ship Review.
DEL-17	Training Plan	At System Design Review with updates – at Pre-Ship Review.
DEL-18	Installation Drawings	At System Design Review with updates – at Pre-Ship Review.
DEL-19	Training Materials	For each delivery, at Product Test and Readiness Review or 12 weeks prior to installation, whichever is earlier, with updates – at Pre-Ship Review.

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Document No.	Deliverable/Plan Title	Delivery Dates
DEL-20	<i>Reserved-unused.</i>	Reserved-unused.
DEL-21	Test Procedures	Draft – 30 working days prior to Product Test and Readiness Review and System Test and Readiness Review, with updates – at the review, and final – as part of DEL-09.
DEL-22	COOP Plan	At System Design Review with revision – at Pre-Ship Review.
DEL-23	System Hardware	Prior to Operational Readiness Review.
DEL-24	Software Licenses	Prior to Operational Readiness Review.
DEL-25	System Data	Prior to Operational Readiness Review.
DEL-26	Version Description Document	At Pre-Ship Review with updates – at Operational Readiness Review and Final Acceptance Review.
DEL-27	Installation Survey Report	At completion of each site survey.
DEL-28	Test Plan	At System Design Review with revision – at Test Readiness Review.
DEL-29	Configuration Management Plan	Within 30 days after the Effective Date of the Agreement.
DEL-30	Requirements Verification and Traceability Matrix	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and final – as part of DEL-09.
DEL-31	System Performance Report	Periodic logs of all transaction and System activity necessary to evaluate Agreement performance and to facilitate trend analysis, support system and other transactional analysis as specified in Phase 2 of the SOW.

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Document No.	Deliverable/Plan Title	Delivery Dates
DEL-32	Data and Property Management Plan	Contractor shall develop, document and implement comprehensive procedures for the management of data, documentation and State property (equipment, hardware or software that belongs to State).
DEL-33	Service Level Plan	Contractor shall develop a Service Level Plan (“SLP”) that will govern the CCH and Contractor’s performance during the System Operation Phase of the project, as outlined in the Operations SOW, which shall include all Service Level Requirements set forth by the offeror in their response to the Implementation and Operations SOWs, and any other requirements specified elsewhere in the Agreement. The SLP must also report performance through DEL-31 above.

Attachment B – CCH Operations SOW

Offerors **shall** read all sections of this attachment and **shall** prepare their response to this Computerized Criminal History (CCH) Operations Statement of Work (SOW) for inclusion with their proposal regarding the Alabama Law Enforcement Agency (ALEA) CCH RFP, for their proposed system solution. Offeror's response will be incorporated into the final contract.

Section 1 – CCH Operations SOW Response Instructions

The Offeror **shall** describe its understanding of the State's requirements as expressed the Operations Statement of Work (OPS SOW) and its approach to satisfying those requirements. The Offeror **shall** describe the services to be provided, the level of service, assumptions, risks, applicable standards, deliverables, and deliverable content. The Offeror **shall** address, at a minimum, the following areas:

System Performance. The Offeror **shall** describe its approach to providing the performance services required in the CCH OPS SOW, including the capacities and response times to be supported (average and peak hour), throughput of services, and any assumptions, risks, or constraints. The Offeror **shall** address the required services and any additional services the Offeror proposes to provide.

System Interfaces. The Offeror **shall** describe its approach to satisfying the interface requirements of the CCH OPS SOW. The Offeror **shall** identify interfaces with justice information repositories and other relevant law enforcement systems; identify applicable interface standards; discuss any limitations in its implementation of those standards, interface capacities (average and peak hour), and any assumptions, risks, or constraints.

Repository Management. The Offeror **shall** describe its approach to satisfying the repository management requirements of the CCH OPS SOW. The Offeror **shall** describe the procedures for maintaining the repository and for ensuring the integrity, confidentiality, and accessibility of the contents.

Report Generation. The Offeror **shall** describe its approach to satisfying the report generation requirements of the CCH OPS SOW. The Offeror **shall** identify the data to be collected or made available; the frequency at which data is collected; and special circumstances under which data is collected. The Offeror **shall** discuss how data will be stored, accessed, queried, and how long it will be retained. Procedures for ensuring data integrity will be described. Standard reports will be identified, their contents described, the frequency of reporting described, and the recipients (organizations) of the reports specified. The flexibility for State personnel and CCH management to generate ad-hoc reports will be identified and discussed.

Support Services. The Offeror **shall** describe its approach to satisfying the support services requirements of the CCH OPS SOW. The Offeror **shall** identify and describe the support services to be provided, staffing, and availability (e.g., 24 hours per day, 7 days per week). The Offeror **shall** describe its approach for ensuring the operational software is kept current with respect to its latest software releases and applicable justice information standards.

Service Level Performance. The Offeror **shall** submit a Service Level Proposal which **shall** describe the Offeror's approach to satisfying the service level performance requirements of the CCH OPS SOW. The Offeror **shall** identify the proposed services and the proposed levels of service associated with each.

Training. The Offeror **shall** describe its approach to satisfying the ongoing training requirements of the CCH OPS SOW, including proposed activities, training schedule, deliverables, descriptions of deliverable content, and methods and tools to be used. As a note, post implementation training will be incorporated

into the training plans of the Data Entry Unit Managers for future hires.

The Offeror **shall** identify the risks inherent in the training approach and discuss its mitigation strategies.

Program Organization. The Offeror **shall** describe its approach to satisfying the program organization requirements of the CCH OPS SOW. The Offeror **shall** describe the proposed Program Management Organization (PMO). The Offeror **shall** discuss how the proposed PMO (including subcontractors and offerors) is organized (an organizational chart should be included); how it fits into the Offeror's overall corporate structure (an organizational chart should be included); indicate how the proposed PMO will interface with the State; and discuss the responsibilities of key persons. The Offeror **shall** identify and discuss the principal interfaces and reporting mechanisms internal to and external to the PMO as well as elements of the Offeror's support organization.

Management and Technical Reporting and Reviews. The Offeror **shall** describe its approach to satisfying the management and technical reporting and review requirements of the CCH OPS SOW. The Offeror **shall** identify proposed reviews, their purpose, frequency, participants, and any associated deliverables. Standard reports will be identified, their contents described, the frequency of reporting described, and the recipients (organizations) of the reports specified.

Technology Refresh and Enhancement. The Offeror **shall** describe its approach to satisfying the technology refresh and enhancement requirements of the CCH OPS SOW. The Offeror **shall** describe its approach for maintaining an awareness of the state of the art in justice and criminal history data and other relevant technologies and for identifying and evaluating new commercial software products and product upgrades for insertion into the CCH baseline. The Offeror **shall** describe its approach to planning and executing the introduction of new standards, products, and product upgrades into the CCH baseline.

Facilities. The Offeror **shall** describe its approach to satisfying the facilities requirements of the CCH OPS SOW.

Personnel. The Offeror **shall** describe its approach to satisfying the personnel requirements of the CCH OPS SOW.

Security. The Offeror **shall** describe its approach to satisfying the security requirements of the CCH OPS SOW.

Maintenance Services. The Offeror **shall** describe its approach to satisfying the maintenance requirements of the CCH OPS SOW. The Offeror **shall** describe its plans for periodic maintenance (inspection, adjustment, and replacement of defective parts) at the primary site, and the COOP secondary site. The description **shall** include the frequency of visits, estimated required machine time, and proposed working hours. The Offeror **shall** describe the procedures to be used to log problem reports, to notify State of problems and their status, and to escalate problem reporting.

Configuration Management. The Offeror **shall** describe its approach to satisfying the configuration management requirements of the CCH OPS SOW.

Continuity of Operations. The Offeror **shall** describe its approach to satisfying the COOP requirements of the CCH OPS SOW.

Section 2 – CCH Operations Statement of Work

This section of Attachment B provides the operations statement of work expected for the CCH solution. Following the instructions provided in Section 1 above, offerors are to respond to this SOW below providing detail as to their approach for accomplishing this SOW.

1 System Operation

This section of the SOW, together with Exhibit OPS SOW 1 – Project Deliverables, provides a detailed description of the scope of Work to be performed by Contractor throughout the operational and support phase (“System Operation Phase” or “Phase 2”) of the Agreement as part of the Service Level Requirements. Contractor **shall** submit to State for approval a Service Level Plan (“SLP”), based on its Service Level Proposal, which **shall** satisfy all Service Levels Requirements specified in 1 – System Operation of the SOW, including this 1.1 – Scope of Services.

1.1 – Scope of Services

Contractor **shall** provide for State’s Primary Site and COOP Site a suite of Services that will satisfy the Service Level Requirements based on the SLP developed by Contractor. Contractor **shall** provide all facilities, equipment, software and personnel required to deliver the Services identified in this 1.1 – Scope of Services and to satisfy the SLRs for State’s Primary Site and COOP Site.

The sections outline under this 1.1 – Scope of Services below set forth the required Services identified for the CCH Operational Environment.

1.1.1 – FEDERAL INTERFACES

Contractor **shall** maintain Interfaces with state and national services such as with the ALEA ABIS, the FBI NGI (via ABIS), Nlets, and the NCIC/III systems as well as any interfaces developed for implementation.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.1.2 – STATE SYSTEM INTERFACES

Contractor **shall** maintain Interfaces with all requisite criminal justice information data repositories and systems and with networks that in turn connect to other criminal justice systems. These Interfaces, required for the successful implementation of the System during Phase 1 of this SOW, are documented in the Current Environment (Attachment D – Current AL CCH Environment).

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.1.3 – REPOSITORY MANAGEMENT

Contractor **shall** maintain access to a well-maintained and indexed repository of all criminal history transactions, stored and retrievable in standard formats. The ability to update, delete, retrieve, and print appropriate reports and other forms, **shall** be provided.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.1.4 – REPORT GENERATION

Contractor **shall** maintain access to State staff, FBI auditors and other authorized personnel to inspect the repository, the log of transactions and performance/throughput rates, and user-level access history in order to allow State to generate predefined (canned) reports as well as ad hoc reports.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.2 – Support Services

During the System Operation Phase of the Agreement, as part of System Maintenance, Contractor **shall** support the operation of the System (“Support Services”), as further provided in this 1.2 – Support Services below.

1.2.1 – SCOPE OF SUPPORT

Contractor’s Support Services responsibilities **shall** include responding to and tracking problems reported, resolving Deficiencies and controlling configuration of software and hardware baselines, on-site and remotely as necessary.

Contractor **shall** backup (data and system configurations) daily for COOP considerations. Copies of the backup media **shall** be stored off site from the primary site and disaster recovery site to increase the likelihood of their availability in case of a natural or man-made disaster.

Contractor **shall** be responsible for all upgrades to the installed operating system(s), database management systems, and application software to ensure that the services conform to future approved FBI exchange/interface specifications and that no service is running on a suite of software no longer supported by the licensing Contractor.

The Contractor **shall** manage its services to include reports on the status of the system, the services provided, and repository and transaction volumes.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.2.2 – CUSTOMER SUPPORT

As part of its Support Services, Contractor **shall** provide operational support for the Solution 24 hours per day, 7 days per week (24/7) (“Support Hours”), which **shall** include without limitation providing a point of contact for all System problems by maintaining a system for customer support (“Customer Support”). Such operational support **shall** include Support Services to correct any failure of the Solution and to remedy Deficiencies in accordance with 1.5 – Correction of Deficiencies of the SOW to ensure that the Solution operates in accordance with the Specifications, including System Requirements, warranties and other requirements under the Agreement. Requests for Customer Support will be submitted by State’s technical support via telephone and/or Contractor’s web-based trouble ticketing system. In the event that the Contractor’s web-based trouble ticketing system is not available, State may use email or any other reasonable means to request Customer Support.

In addition to the requirements specified in the System Requirements Specifications, Contractor’s Customer Support service level requirements **shall** also include, but not be limited to, those listed below, as follows:

- State designated staff **shall** have access to Contractor’s Customer Support through the web-based trouble ticketing system and via telephone. The trouble ticketing system **shall** provide for State a simple method to submit, track and update issues that require escalation to Contractor’s Customer Support. The authorized State contacts will each receive an account and training on the ticketing system. This does not prohibit other State contacts from calling Customer Support to report an issue or problem.
- Contractor **shall** provide a telephone number for State staff to call 24/7/365. This telephone number **shall** quickly connect State staff with the appropriately qualified Customer Support personnel.

- Contractor **shall** disclose if non-contractor employees or a sub-contractor will be utilized for any portion of Customer Support Services including initial intake of reported problem calls from the State.
- Priority Levels for the Deficiencies **shall** be assigned according to definitions specified in 1.5.2 – Deficiency Priority Levels.
- Contractor **shall** respond within the period specified in 1.5.2 – Deficiency Priority Levels depending on the Priority Level of the Deficiency.
- Contractor’s Customer Support **shall** be made available to State on a 24/7/365 basis.
- Contractor’s Customer Support **shall** work with State’s Project Manager and State’s technical support staff on correcting Deficiencies and keep State personnel informed regarding the updates and scheduled timeframes to ensure that all maintenance windows are clearly communicated, and the requirements of this SOW are met.
- Deficiency correction, timeframes and Service Credits for failure to timely correct any Deficiencies as specified herein **shall** be as specified in 1.5 – Correction of Deficiencies.

1.2.3 – SERVICE LEVEL PERFORMANCE

Contractor **shall** ensure that, during the term of the Agreement, the CCH **shall** provide at least 99.8 percent (99.8%) availability for all Services, measured monthly, and in accordance with the terms of the Agreement, including all Service Level Requirements set forth herein.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.2.4 – TRAINING

Contractor, in conjunction with third parties and cooperation from State, will develop those Training Plan(s) and materials and will conduct those training activities identified as Contractor responsibilities [DEL-17] of the System Implementation Phase of this SOW.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-17: Training Plan.

1.3 – Program Management

The sections under this 1.3 – Program Management below describe the required program management functions to be performed by Contractor throughout the System Operation Phase of the Agreement.

Contractor **shall** document management organization, roles and responsibilities, resources, processes, and other pertinent management information in a Project Management Plan [DEL-01] and maintain that plan current throughout the System Operation Phase of the Agreement.

1.3.1 – PROGRAM ORGANIZATION

Contractor **shall** establish a formal Contractor PMO responsible for executing the total effort required under the Agreement. A clear line of program authority **shall** exist among all organizational elements, including subcontractors. Roles, responsibilities, authority structures and reporting requirements **shall** be established for each organizational element.

Contractor **shall** appoint a Contractor’s Project Manager or Program Project Manager (“PPM”) who **shall** be responsible for accomplishing all tasks to be performed under the Agreement. The PPM **shall** be responsible for Contractor’s technical, cost and schedule performance. The PPM **shall** have full authority over all Contractor program activities and resources. The PPM **shall** be the principal interface between

the program and Contractor's corporate organization, between the program and its associated contractors, and between Contractor and State for all matters relating to the Agreement. The PPM, or designee, **shall** be available to State management on a 24/7/365 basis, as appropriate.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-01: Project Management Plan.

1.3.2 – MANAGEMENT AND TECHNICAL REPORTING AND REVIEWS

Contractor **shall** conduct management and technical reviews and provide management and technical reports throughout the System Operation Phase of the Agreement. Contractor is cautioned that the content of reviews **shall** be limited to that which is sufficient to establish the adequacy of the products and services required under the Agreement. Sales presentations, new product demonstrations and other promotions are discouraged unless expressly requested by State. Contractor **shall** log all transaction and system activity necessary to evaluate Agreement performance, facilitate trend analysis and support system and other transactional analysis [DEL-31]. Contractor **shall** supply appropriate quality assurance and audits to ensure logs are complete and accurate.

Contractor **shall** participate in a program kickoff meeting at a State facility 30 days prior to the scheduled date for declaring State's Initial Operational Capability (IOC). The purpose of the meeting is to introduce key State and Contractor operations and operations support personnel, discuss plans, examine the status of any risks or issues and address any other issues that State and/or Contractor may wish to discuss.

State and Contractor **shall** meet monthly in person, by telephone or through the provision of e-mail updates exchanged between their respective Program Managers unless the parties otherwise mutually agree in writing via their respective Program Managers. Attendees at the meetings will include State and its staff and Contractor and subcontractor's personnel, as determined by State and Contractor management. The objectives of the monthly meetings are (i) to confirm that the program is not encountering technical problems that would cause the program to fail to maintain the agreed-upon service levels, (ii) to provide immediate feedback to the parties to permit any issues to be resolved on a timely basis, (iii) to provide a contemporaneous record showing that the parties have acted to ensure that the program is progressing in accordance with prior agreements, and (iv) to ensure that parties are proactively identifying and addressing issues that could adversely affect service levels.

Contractor **shall** conduct semi-annual Operational Program Management Reviews (OPMR(s)). Attendees at the OPMRs will include State and its staff and Contractor and subcontractor's staff, as necessary. The first OPMR **shall** be held within 60 days after the IOC. Each OPMR **shall** address:

- Performance against SLAs
- Financial and schedule status
- Planned activities
- Action item status
- Problem report status
- Configuration management and quality assurance reporting
- Issues and risks
- Other service level shortfalls and plans for corrective action.

The OPMRs **shall** also address selected technical and programmatic topics as directed by State.

It should be assumed that all OPMRs are to occur at ALEA or State sites. However, if the OPMR is held at Contractor's location, any costs to the state associated with travel will have to be incurred as expenses to the contractor, and Contractor **shall** furnish facilities both for conducting the OPMR and for State-only

meetings and side meetings. Contractor **shall** make available the key personnel necessary to carry out an efficient and effective agenda and **shall** provide presentation materials and supporting data. Contractor **shall** furnish agendas, presentation materials and minutes. Contractor **shall** attend and participate in required meetings as necessary.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes
- DEL-20: Technical Report
- DEL-31: System Performance Report.

1.3.3 – FACILITY PERSONNEL

Contractor **shall** be responsible for all Primary Site and COOP Site personnel and exercise all rights, responsibilities and prerogatives associated therewith, as necessary to provide Work under the Agreement. Contractor's personnel **shall** be subject to the security provisions outlined in 1.3.4 – System Security below.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-01: Project Management Plan
- DEL-22: COOP Plan
- DEL-33: Service Level Plan.

1.3.4 – SYSTEM SECURITY

Contractor **shall** take reasonable security precautions approved by State, by providing among others the necessary Software Updates, to ensure the CCH, including its related hardware, software, data and third-party components, are maintained in accordance with contemporary best business practices, including performing antivirus updates, software updates, configuration management, backup/restore/recovery, system logging and report generation. Contractor **shall** take reasonable security precautions as approved by State to ensure State's Primary Site and COOP Site physical security.

Contractor **shall** comply with all provisions of the FBI CJIS Security Policy as cited in the Implementation SOW.

Contractor **shall** take reasonable precautions to prevent the loss of or alteration to State's data. Accordingly, Contractor **shall** keep backup copies of all of State's data in a safe and secure off-site facility approved by State.

Contractor **shall not** utilize, or provide to third parties, State's database without prior written approval of State.

Contractor **shall** be responsible for ensuring appropriate encryption or other security methods are implemented to guarantee the secure transmission of data in the CCH, as further provided elsewhere in the Agreement including the System Requirements Specifications.

Contractor **shall** afford State the opportunity to interview and investigate the personnel proposed by Contractor prior to granting them security access to State systems and sites, and State reserves the right to reject their access to CCH equipment, files or site locations whenever Contractor personnel fail to maintain a clean criminal record or pass a background update procedure administered by and satisfactory to State, as further provided elsewhere in the Agreement including the System Requirements Specifications.

Contractor **shall** work with the State to achieve end-to-end security for all components that make up the CCH. Contractor **shall** document its security program in an In-Plant Security Plan [DEL-10].

Contractor **shall** also give verbal notification to the State immediately, and then in writing within four (4) hours of Contractor's knowledge of the existence and explanation of any intrusions or other security problems or breaches that may affect the integrity of the System Data or any other State data, subject to the provisions of Paragraph 18 (Confidentiality and Security) of the Base Agreement.

Contractor **shall** provide the State access to the system as deemed appropriate by the State for system security reviews, penetration testing or other security matters. Contractor **shall** also provide the State with access to any system logs as deemed appropriate by the State for ongoing security monitoring.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-10: In-Plant Security Plan.

1.4 – Maintenance Services

During the System Operation Phase of the Agreement, as part of System Maintenance, Contractor **shall** provide maintenance of the System, including the provision of Software Updates and Hardware Upgrades, as further provided in this 1.4 – Maintenance Services below.

Contractor **shall** provide, for any meetings related to maintenance services, the following Deliverable(s) for this component of the SOW:

- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes.

1.4.1 – TECHNOLOGY REFRESH AND ENHANCEMENTS

As part of Maintenance Services, Contractor **shall** propose functional and processing requirements for, and implement, future upgrades. Contractor **shall** also identify and make recommendations concerning the operation of the Existing System, including but not limited to ensuring that the Service Levels are maintained and that Contractor is performing other duties as agreed to by State and Contractor under the Agreement.

Contractor and State **shall** conduct periodic joint technology reviews, no less frequently than every six (6) months, to guarantee that the hardware and software and system security are adequate for State purposes and are consistent with then-current technology used in similar systems. Such evaluations **shall** include reviewing the available technology applicable to the CCH, both from Contractor and third parties, and reviewing pending and implemented changes in NIST, EBTS, NCIC and other standards applicable to the State. As may be required from time to time, Contractor and State **shall** determine any hardware or software changes that are needed to respond to such developments and to provide migration paths for such functional or technology updates. Such changes **shall** be provided at no cost to State beyond the Service Fees payable by State to Contractor.

As part of Maintenance Services, Contractor **shall** provide one (1) hardware (both cloud solution and onsite) refresh 5 years after acceptance of the system solution at no additional charge to State beyond the contractually established Service Fees. Prior to commencing hardware refresh, Contractor **shall** submit for State approval technology refreshment specifications, which **shall** incorporate technological upgrades that are necessary to maintain CCH performance at the requisite Service Levels and to improve such performance, including through additional functionality or in response to changes in technology, regulations or standards applicable to law enforcement promulgated by the FBI, Alabama Justice

Information Commission (AJIC), Alabama state law or Department of Homeland Security. Contractor **shall** furnish agendas, presentation materials, minutes, and technical reports.

Contractor **shall** provide, for any meetings related to technology refresh and enhancement, the following Deliverable(s) for this component of the SOW:

- DEL-07: Agenda
- DEL-08: Presentation Materials
- DEL-09: Minutes
- DEL-20: Technical Report.

1.4.2 – SOFTWARE UPDATES

Contractor **shall** provide Software Updates to the Software to keep current with Contractor's hosting technology standards, industry standards, Third Party Software upgrades, enhancements, updates, patches, bug fixes, etc., the System Requirements and as provided to Contractor's general customer base, all in accordance with this SOW and in coordination with State's Project Manager. By definition, such Software Updates **shall** include, but not be limited to, enhancements, version releases and other improvements and modifications to the Software, including Application Software.

Maintenance Services additionally include maintaining compatibility of the Solution Software with any and all Interfaces provided by Contractor under this Agreement. Prior to the installation of any Third-Party Software, or any update thereto, Contractor **shall** test and ensure such Third-Party Software's compatibility with the then current version of the Software. Contractor **shall** ensure that the Software is compatible with all required or critical updates to Third Party Software, including without limitation, service and compatibility packs and security patches, promptly upon their release.

Notwithstanding the foregoing, any Third-Party Application that may be incorporated by Contractor into the Application Software **shall** be subject to the same Maintenance Services obligations and requirements as the Application Software components that are owned by, or are proprietary to, Contractor.

1.4.3 – SYSTEM ENVIRONMENT

As part of Maintenance Services, Contractor **shall** also provide maintenance of the Server Software that is part of the Server Environment for the Solution, including but not limited to operating software, database software and other software installed in the Server Environment that is not Application Software. Contractor **shall** update, upgrade, replace and/or maintain such Server Software components during the term of the Agreement to comply with the System Requirements and the warranties specified in this Agreement and to be compatible with the Application Software, including any Application Modifications provided by Contractor under the Agreement.

Contractor **shall** provide Software Updates to the Server Software to keep current with Contractor's hosting technology standards, industry standards, Software Updates to the Application Software and other Application Modifications, all in coordination with State's Project Manager.

As part of Maintenance Services, Contractor **shall** also provide maintenance of the Server Hardware components surrounding the Software, including but not limited to all equipment and networking components and other Hardware Upgrades at no additional cost to State beyond the applicable contractually established Service Fees. Contractor **shall** repair, upgrade, replace and/or maintain these Server Hardware components during the term of the Agreement to comply with the System Requirements and the warranties specified in this Agreement and to be compatible with the Software including any Application Modifications provided by Contractor under the Agreement.

Furthermore, Contractor **shall**, during the term of the Agreement, maintain the Solution's compatibility

with State's Client Environment by providing, among others, Software Updates to the Software and Hardware Upgrades to the Solution Hardware. Additionally, Contractor **shall** be responsible for maintaining all network connectivity from the State of Alabama point of presence (Montgomery) to the primary site as well as the DR/COOP site.

1.4.4 – SCHEDULED DOWNTIME AND PREVENTIVE MAINTENANCE

Unless agreed to otherwise in advance by State and Contractor, Contractor **shall** provide all Maintenance Services, including installation of Software Updates and Hardware Upgrades, during Scheduled Downtime, during late evening hours or early morning hours in order to avoid times when users need to use the System, as agreed to by State. Scheduled Downtime for performing Preventive Maintenance or other Maintenance Services at any site **shall not** exceed two (2) hours for each site in any month, unless agreed to in advance by State.

Any Downtime outside of the above window of time without prior State approval **shall** be considered Unscheduled Downtime and **shall** entitle State to remedies as specified in this SOW. Notwithstanding the foregoing, Contractor may request Scheduled Downtime for the provision of an emergency correction to the Solution. Such Downtime **shall** be deemed Scheduled Downtime, provided that it has been approved by State's Project Manager.

State and Contractor **shall** agree on Scheduled Downtime as part of IMS.

Contractor will perform a documented Preventive Maintenance procedure for all equipment and software they provide. Contractor **shall** periodically dispatch maintenance personnel to clean, inspect and adjust the equipment and replace defective or worn parts thereof at the manufacturer's recommended frequency in order to keep the equipment in good operating condition. Contractor **shall** carry out periodic maintenance tasks on all electronic components they provide to ensure they are operating at maximum capability. Such maintenance **shall** be scheduled to be performed, at a minimum, once a month during hours agreed to by State.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.4.5 – RESPONSE TIME MONITORING

Contractor **shall** be responsible for monitoring Response Time of the System to ensure compliance with the System Requirements including System Performance Requirements set forth in this SOW with all Attachments. The contractor **shall** also provide the state with monitoring tools that allow state to view the current status of the system (dashboard-type functionality, etc.) as well as understanding particular performance measures.

Contractor **shall** perform Response Time monitoring at regular intervals and in sufficient detail to detect problems. Contractor **shall** provide State with direct access at any time to the data collected as a result Response Time monitoring. Whenever requested by State, Contractor **shall** provide State with reports and/or download that data along with all applicable documentation that may be necessary for State to independently monitor the Response Time of the System.

State reserves the right to periodically revisit the Response Time Baselines for resetting to ensure that the Response Time of the Solution does not restrict or delay State's operations.

1.5 – Correction of Deficiencies

During the System Operation Phase of the Agreement, as part of System Maintenance, Contractor **shall** correct the Deficiencies in the System, as further provided in this 1.5 – Correction of Deficiencies below.

Contractor **shall** provide corrective maintenance for any Deficiency in Contractor provided equipment or software that, when used as delivered, fails to perform in accordance with the Specifications specified in the Agreement, including System Requirements. The period for the provision of corrective Maintenance coverage for all hardware and software **shall** be defined as 24/7.

Contractor **shall** maintain an electronic report log that indicates the problem report number, problem description, the time that the problem call was received, the priority assigned, all actions taken and the time that the problem was corrected. The problem report log **shall** be maintained in a database that is remotely accessible by State personnel.

Contractor **shall** offer one central point of contact for support of hardware and software. Contractor support personnel **shall** address all problems reported by State. Contractor's support personnel **shall** acknowledge problems reported via telephone or by e-mail within two (2) hours and respond according to the protocols listed below.

1.5.1 – IDENTIFICATION OF DEFICIENCIES

The Deficiencies under this Agreement may be identified either as a result of Contractor's use of its own monitoring system or discovered by State. Upon discovery of a Deficiency by State, State will report the Deficiency to Contractor's Customer Support for resolution in accordance with this SOW.

The Priority Level of a Deficiency **shall** be assigned according to the Priority Level definition set forth in 1.5.2 – Deficiency Priority Levels. Based on Contractor's proposed solution and/or a workaround for the Deficiency, State may reevaluate and escalate or downgrade the Priority Level of such Deficiency.

1.5.2 – DEFICIENCY PRIORITY LEVELS

State **shall** assign the Priority Level to each Deficiency reported by State to Contractor's Customer Support. Contractor **shall** assign Priority Levels to Deficiencies discovered by its own problem monitoring system as detailed in Table 1 – Deficiency Priority Levels below. Following report of a Deficiency from State, Contractor **shall** respond back to State within the prescribed "Response Timeframe" specified below and resolve each such Deficiency within the specified "Resolution Time". Resolution Time for correction of Deficiencies **shall** start tolling when State first notifies Contractor of a Deficiency by telephone or otherwise as specified herein, including Contractor's Customer Support, and **shall** end when State determines that the Deficiency has been resolved.

Table 1 – Deficiency Priority Levels

Priority Level	Description of Deficiency	Response Timeframe	Resolution Time
1 – Critical	System is down (Unscheduled Downtime) or is practically down (e.g., extremely slow Response Time) or does not function at all, as determined by State. There is no way to circumvent the problem; a significant number of State users are affected. A production business system is inoperable.	One (1) hour	Eight (8) consecutive hours

Priority Level	Description of Deficiency	Response Timeframe	Resolution Time
2 – Severe	A component of the Solution is not performing in accordance with the Specifications (e.g., slow Response Time), creating significant State business impact, its core functionality is not available or one of System Requirements is not met, as determined by State.	Four (4) hours	One (1) Day
3 – Moderate	A component of the Solution is not performing in accordance with the Specifications; there are unexpected results, moderate or minor operational impact, as determined by State.	One (1) day	Two (2) weeks
4 – Low	This is a low impact problem and is not significant to operations or is related to education (e.g., general “how to” and informational Solution Software questions, Documentation requests, understanding of reports or general “how to” create reports), as determined by State.	Two (2) days	Next version release or six (6) months unless otherwise agreed to by State and Contractor

1.5.3 – PROBLEM RESOLUTION AND PROTOCOLS

Contractor **shall** assign Priority Levels to Deficiencies discovered by its own problem monitoring system. Following report of a Deficiency from State, Contractor **shall** respond back to State within the prescribed “Response Timeframe” specified below and resolve each such Deficiency within the specified “Resolution Time”. Resolution Time for correction of Deficiencies **shall** start tolling when State first notifies Contractor of a Deficiency by telephone or otherwise as specified herein, including Contractor’s Customer Support, and **shall** end when State determines that the Deficiency has been resolved.

Problems requiring an immediate response (Priority Level 1) are system or component failures preventing records from being entered or updated, searched or responses from being delivered. This includes all equipment supplied by Contractor associated with the System.

Contractor may attempt to correct the problem by phone or remote access. If Contractor is unable to correct the problem in this manner, Contractor must begin on-site repair within four (4) hours of the time Contractor was initially notified, depending on the availability of the site where the equipment resides. All situations preventing the initiation of on-site repair within such four (4) hours will be documented in Contractor’s electronic report log and reported to State’s Help Desk.

All other Major Deficiencies (Priority Level 2) will be corrected within one (1) Day from the time the problem was reported.

Contractor **shall** inform State within 1 hour of any service interruptions and then notify the State within

eight (8) hours of any hardware or software problems that Contractor has identified and resolved.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.6 – Configuration Management

Problem reporting, testing, diagnosis, deployment of patches and revisions are key aspects of configuration management. Configuration management plans and processes must address these unique problems efficiently and effectively.

Contractor **shall** document and implement a Configuration Management Plan [DEL-29] and processes that **shall** address these unique problems efficiently and effectively. Configuration management performed by Contractor **shall** accomplish the following:

- Establish a controlled configuration for each operational hardware and software component at the Primary Site and the COOP Site
- Maintain current copies of the deliverable documentation and code
- Give State access to the documentation and code under configuration control
- Control the preparation and dissemination of changes to the master copies of the delivered software and documentation placed under configuration control so that they reflect only approved changes.

Contractor **shall** generate management records and status reports for all hardware and software products at the Primary Site and the COOP Site, including the controlled operational configurations. The status reports **shall**:

- Make changes to controlled products traceable
- Serve as a basis for communicating the status of configuration identification software and associated software
- Serve as a vehicle for ensuring that delivered documents describe and represent the associated software.

Contractor **shall** participate in State configuration control meetings. State configuration control meetings will establish and control the requirements baseline [DEL-02] throughout the performance of the Agreement and will control the operational baseline, including deployed hardware, software, databases and documentation, once the CCH becomes operational.

Contractor **shall** prepare a Version Description Document [DEL-26] comprising the complete instructions necessary to install and configure all hardware, software and data associated with each deployment, including site-specific installation information for the duration of the term of the Agreement.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-02: System Requirements Specifications
- DEL-26: Version Description Document
- DEL-29: Configuration Management Plan.

1.7 – Continuity of Operations

As part of System Maintenance, Contractor **shall** also be responsible for the provision of COOP Services in accordance with the COOP Plan provided by Contractor.

Contractor or State may declare an event a Disaster. As part of COOP Services, Contractor **shall** perform the functions; provide or utilize the facilities, equipment, supplies, data, and documentation; and

conduct the training and exercises/drills specified in the COOP to maintain a viable COOP capability ensuring the performance of Contractor’s essential functions during any emergency or situation that may disrupt normal operations and leave Contractor facilities damaged or inaccessible. Contractor **shall** be subject to the following Service Level Requirements as part of COOP, which **shall** be contained in and are incorporated into the COOP Plan:

- Contractor **shall** have complete responsibility for restoration of the Solution.
- In the event of a Disaster declaration, Contractor **shall** be required to maintain regular and consistent communication with State about the event/condition and steps taken to restore the Solution.
- Contractor **shall** be required to make a declaration of a Disaster and invoke the Disaster Recovery Plan within four (4) hours from the disruption of the normal Operational Environment or precipitating event. Such declaration will signal that system operations will continue on the remaining site without COOP until the event has ended and the full system has been restored. Contractor **shall** also indicate its plan for the restoration of full COOP operations after the declaration of the event.
- Contractor **shall** ensure the System Data to a point no greater than Thirty (30) minutes prior to the declaration of the Disaster by State or Contractor.
- State **shall** be able to logon to the secondary system at the Disaster Recovery/COOP site immediately and seamlessly as a function of the load-balance system design from the declaration of the Disaster event by State or Contractor.
- Contractor **shall** have 100% capacity of the operational system (as a function of the load-balanced system design) regardless of the declaration of the Disaster by State or Contractor.
- Contractor’s failure to make a declaration of a Disaster within four (4) hours **shall** result in any system downtime as a result of this incident being deemed as Unscheduled Downtime.

Contractor **shall** provide the following Deliverable(s) for this component of the SOW:

- DEL-22: COOP Plan.

2 Remedies

2.1 – General

Credits **shall** accrue for Unscheduled Downtime, including Contractor’s failure to meet the System Availability requirements and/or Response Time requirements (hereinafter “Service Credit(s)”). For purposes of assessing Service Credits and this SOW, “Unscheduled Downtime” **shall** mean the total amount of time during any calendar month, measured in minutes, during which the System has a Major Deficiency that is unresolved by Contractor, excluding Scheduled Downtime.

2.2 – Service Credits

Without limiting any other rights and remedies available to State, either pursuant to this Agreement, by law or in equity, State **shall** be entitled to Service Credits calculated based on the length of Unscheduled Downtime as provided in Table 2 – Service Credits below, and only for issues/disruptions that are directly attributable to and are within the scope of responsibility of the Contractor. Service Credits will not be assessed for Scheduled Downtime.

Table 2 – Service Credits

Length of Continuous Unscheduled Downtime	Service Credits
1 to 4 hours	1 day of Service Credits equal to 1/30th of Monthly Fees
4 to 48 hours	2 days of Service Credits equal to 1/15th of Monthly Fees
48 to 96 hours	5 days of Service Credits equal to 1/6th of Monthly Fees
Each additional block of 96 hours thereafter	Additional 5 days of Service Credits equal to 1/6th of Monthly Fees

Service Credits **shall** be calculated separately for each applicable incident of a Deficiency and **shall** be added up to be assessed at the end of each month of System Maintenance. Service Credits, in any amounts, are not and **shall not** be construed as penalties and, when assessed, will be deducted from State's payment due to Contractor.

2.3 – System Response Time Deficiencies

A Response Time Deficiency fitting the definition of a Major Deficiency as a Priority Level 1 or Priority Level 2 **shall** be deemed to cause Unscheduled Downtime and **shall** entitle State to assess Service Credits as provided in 2.2 – Service Credits above. In addition, the System **shall** be deemed to be experiencing Unscheduled Downtime after thirty (30) days of any Response Time Deficiency unresolved by Contractor, entitling State to assess Service Credits.

Exhibit OPS SOW 1 – Project Deliverables

During the System Operations Phase of the Agreement, Contractor **shall** deliver those Deliverables identified and listed in the Deliverable Table below, as appropriate during the Operations phase of the project. All Deliverables **shall** be subject to State approval and Acceptance in order to satisfy the terms and conditions of the Agreement.

During the System Operation Phase of the project, Contractor **shall** provide the State with a comprehensive set of user, system, training, and management documentation. Contractor **shall** supply documentation in both electronic and hard-copy formats. User documentation **shall** describe the components, functions, and operations of each workstation type. Each CCH workstation **shall** be provided with online user documentation residing on the workstation or accessible via the agency's internal networks.

In addition, Contractor **shall** deliver those items identified in Deliverable Table below.

Document No.	Deliverable/Plan Title	Delivery Dates
DEL-01	Project Management Plan	With proposal and with update – within 30 days after the Effective Date of the Agreement.
DEL-02	System Specifications	At System Review.
DEL-03	Integrated Master Schedule	With proposal and with update at Project Management Reviews.
DEL-04	Test and Evaluation Master Plan	With proposal and with update – within 30 days after the Effective Date of the Agreement.
DEL-05	Migration Plan	At System Design Review.
DEL-06	Test Report – several sets, each corresponding to the outcomes of Factory Acceptance Test, System Acceptance Test and User Acceptance Test	For each increment, at Pre-Ship Review and Operational Readiness Review.
DEL-07	Agenda	Prior to a meeting.
DEL-08	Presentation Materials	Draft – five (5) Business Days prior to a meeting, with updates – at the meeting and final – as part of DEL-09.

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Document No.	Deliverable/Plan Title	Delivery Dates
DEL-09	Minutes	Draft – two (2) Business Days after the meeting, with final – five (5) Business days after receipt of State comments.
DEL-10	In-Plant Security Plan	With proposal and with update – within 30 days after the Effective Date of the Agreement.
DEL-11	User Manuals	At each training session and for online reference.
DEL-12	Database Design Document	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and Final as part of DEL-09.
DEL-13	Interface Design Document	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and final – as part of DEL-09.
DEL-14	System Design Document	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and final – as part of DEL-09.
DEL-15	Bill of Materials	At System Design Review with updates – at Pre-Ship Review.
DEL-16	Installation Plan	For each delivery, at Product Test and Readiness Review or 12 weeks prior to installation, whichever is earlier, with updates – at Pre-Ship Review.
DEL-17	Training Plan	At System Design Review with updates – at Pre-Ship Review.
DEL-18	Installation Drawings	At System Design Review with updates – at Pre-Ship Review.
DEL-19	Training Materials	For each delivery, at Product Test and Readiness Review or 12 weeks prior to installation, whichever is earlier, with updates – at Pre-Ship Review.

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Document No.	Deliverable/Plan Title	Delivery Dates
DEL-20	Technical Report	As specified in 1.3.2 – Management and Technical Reporting and Reviews and 1.4.1 – Technology Refresh and Enhancements above or as required or requested by State.
DEL-21	Test Procedures	Draft – 30 working days prior to Product Test and Readiness Review and System Test and Readiness Review, with updates – at the review, and final – as part of DEL-09.
DEL-22	COOP Plan	At System Design Review with revision – at Pre-Ship Review.
DEL-23	System Hardware	Prior to Operational Readiness Review.
DEL-24	Software Licenses	Prior to Operational Readiness Review.
DEL-25	System Data	Prior to Operational Readiness Review.
DEL-26	Version Description Document	At Pre-Ship Review with updates – at Operational Readiness Review and Final Acceptance Review.
DEL-27	Installation Survey Report	At completion of each site survey.
DEL-28	Test Plan	At System Design Review with revision – at Test Readiness Review.
DEL-29	Configuration Management Plan	Within 30 days after the Effective Date of the Agreement.
DEL-30	Requirements Verification and Traceability Matrix	Draft – five (5) Business Days prior to System Design Review, with updates – at the review, and final – as part of DEL-09.
DEL-31	System Performance Report	Periodic logs of all transaction and System activity necessary to evaluate Agreement performance and to facilitate trend analysis, support system and other transactional analysis as specified in Phase 2 of the SOW.

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Document No.	Deliverable/Plan Title	Delivery Dates
DEL-32	Data and Property Management Plan	Contractor shall develop, document and implement comprehensive procedures for the management of data, documentation and State property (equipment, hardware or software that belongs to State).
DEL-33	Service Level Plan	Contractor shall develop a Service Level Plan (“SLP”) that will govern the CCH and Contractor’s performance during the System Operation Phase of the project, as outlined in 1 – System Operation of the SOW, which shall include all Service Level Requirements set forth in offeror’s response to the Operations Implementation and Operations SOWs, and any other requirements specified elsewhere in the Agreement. The SLP must also report performance through DEL-31 above.

Attachment C – CCH Specifications

Requirements Framework

This section introduces the recommended framework in which requirements for the future ALEA CCH are presented for the purposes of competitive solicitation. Requirements for this system will be presented in the following way:

- *Functional Requirements* – Those requirements that support the functionality, processes, business rules, inputs, and products needed in the future ALEA CCH solution.
- *Technical Requirements* – Those requirements that describe the State of Alabama’s and ALEA’s information technology (IT) policies and standards, infrastructure, user interface, interfaces to other systems, and security specifications for the future ALEA CCH system.

Following is a discussion of how requirements are presented to prospective proposers and how the proposers are instructed to respond to the solicitation.

Requirements Presentation

Requirements for the ALEA CCH system will be presented in the table format shown below. Functional and technical requirements will be listed in a separate but similar format. Each requirement will be listed under its own ID number.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
1	Requirement Detail 1				
2	Requirement Detail 2				
3	Requirement Detail 3				

Vendors will be instructed to complete their responses to each requirement as described below. The definition for each of the response types above is also explained in the following section.

The following table provides the definition for and understanding of each of the response options in the table above. In responding to these requirements regarding functions, features, and reporting capabilities, each vendor will be instructed to mark a response box that accurately indicates its current or future ability to provide each requirement. In addition, each vendor will be instructed to explain in detail how and where its solution meets the requirement. Vendor responses will be balanced against the system

approach and architecture model proposed.

Response Box	Definition
Current Capability or Configurable Item	Requirement will be met by the proposed future ALEA CCH solution that is installed and operational in other states and can be demonstrated to the ALEA. <i>The cost of requirements receiving this response must be included in the cost of the base package, and the requirements must be delivered with the baseline solution at installation.</i>
Future Release	Requirement will be met by a future release of the product. The cost of requirements receiving this response must be included in the cost of the base package, and the requirements must be delivered within one year of baseline solution installation.
Custom Development	Requirement will be met by package software currently under development, in beta test, or not yet released. The cost of requirements receiving this response must be included in the cost of the base package, and the requirements must be delivered with the baseline solution at installation.
Not Available	Requirement cannot be provided either as part of the baseline solution or future enhancement.

Responding to Requirements

This section calls on the vendors to group together, in order, all of the requirements and responses by response type (for example, all of those marked Current Capability or Configurable Items in order, with detailed descriptions, followed by those marked as Future Release, etc.). Vendors must follow the outline below for the ALEA CCH requirements response section of the overall proposal.

In their proposals, the vendors **shall** provide a comprehensive written description of their approach to all requirements in the specification. Vendors must first use and insert the requirement specifications tables, as provided in the solicitation, into their proposals and respond directly to each specification entry by placing an “X” in the applicable column in each row. The definition of each column heading in the requirement specification table is provided below and in the RFP section related to instructions for preparing provider responses.

For each requirement, in requirement ID order, providers are to:

Place an “X” in the appropriate column in the response form, per the definitions below.

- Add two rows after each requirement ID, providing the following information:
 - » In the first of these two rows, for each requirement ID, provide a detailed explanation for their responses to each requirement ID, according to the format outlined in the table below.

- » In the second of these two rows, for each requirement ID, provide information on the section and/or pages(s) in the proposal where requirement is addressed or other method(s) of verification.

Requirement ID	Response Explanation
Current Capability or Configurable Item	
List <i>each requirement ID</i> , so marked, in the same order as in the specifications tables.	For each requirement ID listed, vendors must provide a <i>detailed explanation</i> of how the specification is met.
Future Release	
List <i>each requirement ID</i> , so marked, in the same order as in the specification's tables.	For each requirement ID listed, vendors must provide a <i>detailed explanation</i> of when and how the specification will be met within 1 year of installation.
Custom Development	
List <i>each requirement ID</i> , so marked, in the same order as in the specification's tables.	For each requirement ID listed, vendors must provide a <i>detailed explanation</i> of how the specification will be customized, implemented, and maintained. Vendors may also note whether the associated custom development will be provided as part of the base package without additional cost.
Not Available	
List <i>each requirement ID</i> , so marked, in the same order as in the specification's tables.	For each requirement ID listed, vendors must provide a <i>detailed explanation</i> of why they chose not to provide the specified feature.

NOTE: Each functional specification in the proposal must be addressed directly or it will be assumed that vendors cannot accomplish the specification and/or deliverable. ALEA prefers vendor systems that meet all specifications with minimum customization required.

Functional Requirements

This section includes the baseline set of functional business requirements for the future ALEA CCH system environment. These baseline requirements are broken down into the functional areas of criminal records management, including business process, analysis, action and decision, and work flow.

Business Process Requirements

The table below presents the core functional business components of the future CCH environment and includes the functionality necessary to meet business processing needs such as data entry, query, response, and messaging.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Submission					
CBP-1	The proposed system should, at minimum, be functionally and operationally compliant with all elements of the current CCH system.				
CBP-2	The proposed system should employ event-driven processes.				
CBP-3	The proposed system should provide transaction-level authorization capabilities.				
CBP-4	The proposed system should have the ability to create, modify, cancel, and reactivate a criminal record for an individual based on appropriate security authorizations.				
CBP-5	The proposed system should have the ability to create, delete, and cancel supplemental information for an individual.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CBP-6	<p>The proposed system should have the ability to view, print, merge, unmerge, seal, unseal, expunge, unexpunge, delete, and un-delete the following types of records and data for an individual:</p> <ul style="list-style-type: none"> ● Identification record. ● Arrest data. ● Prosecution data. ● Judicial data. ● Custodial data. ● Supervision data. ● Deceased data. ● Sex offender data. ● Supplemental data. ● Juvenile data. ● Non-criminal applicant record/data. ● Relationship to Victim (RTV) data. 				
CBP-7	The proposed system should provide the capability for the courts to submit dispositions electronically. The disposition should post automatically to the original arrest when mandatory identifiers are manually verified. These identifiers should be configurable and determined by ALEA policy.				
CBP-8	The proposed system should provide a notification if an existing record is updated with new a name previously not on file for a given SID based on the completion of a fingerprint search through the ABIS system.				
CBP-9	The proposed system should provide the ability to successfully create a new CCH record based on an arrest fingerprint submission. If a fingerprint-based submission does not match an existing fingerprint-based state identification (SID), create a new SID.				
CBP-10	The proposed system should allow for the creation of a CCH record with a SID without a fingerprint card.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CBP-11	The proposed system should provide the ability to automatically identify the status of items being processed by the CCH application, including when received, rejected, entered, submitted for processing, submitted to other entities, returned by other entities, and completed.				
CBP-12	The proposed system should provide the ability to delete a single item, as well as a selected list of items (multiple deletions), from work in process.				
CBP-13	The proposed system should be capable of processing all of the following current state types of transactions (TOTs) in electronic and manual form: arrest (adult/juvenile), disposition (arrest/court), applicant (fee/criminal justice), inquiries (fingerprint/non-fingerprint), and sex offender registrant. The proposed system should also be capable of processing any new transactions that may be required in the future.				
CBP-14	The proposed system should allow for the automated handling of non-reportable arrest charges. These charges are from cases which may/do not meet the criteria for retention on the state CCH, for example non-criminal traffic charges associated with a custodial (criminal) arrest.				
CBP-15	The proposed system should provide the ability to enter and validate criminal history information from the standard criminal fingerprint card, including criminal fingerprints, applicant/other fingerprints, dispositions, etc.				
CBP-16	The proposed system should provide the ability to link arrest records to other supplemental reports.				
CBP-17	The proposed system should provide the ability to record arrests for noncompliance, such as failure to appear and probation violation, that are fingerprint-based and linked to the appropriate previously reported case information.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CBP-18	The proposed system should provide the ability to accept and validate electronically submitted arrest and charge-related information, validating all table-driven data and other configurable elements.				
CBP-19	The proposed system should provide the ability to internally process all incoming submissions, both manual and electronic. This includes all edits, validations, and response methodologies.				
CBP-20	The proposed system should provide the ability to enter and validate applicant information from the standard applicant fingerprint card.				
CBP-21	The proposed system should provide facilities or configurability tools to comply with any law or regulation that permits, prohibits, or regulates the release of arrest, disposition, or conviction information based on specific statute codes.				
CBP-22	The proposed system should provide the ability to validate all transactions received to ensure that they meet format and content requirements.				
CBP-23	The proposed system should provide cross-field edit rules on any system tables that may exist.				
CBP-24	The proposed system should accept error correction transactions submitted both manually and electronically that are related to arrest, judgment, and sentence.				
CBP-25	The proposed system should provide the ability to retrieve images from the CCH repository as well as other repositories of digital facial images that may be available to members of the criminal justice community.				
CBP-26	The proposed system should provide the ability to collect and display images from multiple sources, as a configurable feature for ALEA.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CBP-27	The proposed system should provide the ability to automatically update the personal descriptors on a record if additional descriptors or updates are given. If there are elements of the new arrest record that are not the same as those on file, the proposed system should retain these elements historically.				
CBP-28	The proposed system should provide the ability to efficiently support high-volume batch processing of inquiry, add, and update transactions against the database. It should also support all edit checks that are required in non-batch processing. In addition, there should be provisions for handling rejects.				
CBP-29	The proposed system should provide automatic notifications to other Criminal Justice Information Services (CJIS) systems (e.g., National Crime Information Center [NCIC], National Sex Offender Registry (NSOR), Interstate Identification Index [III], Next Generation Identification (NGI), National Instant Background Check System [NICS]) as well as any authorized agency that has received a record dissemination when an entire criminal record or a specific incident on the record is sealed, unsealed, expunged, unexpunged, deleted or modified.				
CBP-30	The proposed system should have the capability to communicate/notify the FBI when an Alabama Youthful Offender Act or a Technical (arrested and booked by municipality for felony, then transported and booked into County detention duplicating the arrest charges-County charges protected from dissemination-currently manual process) arrest has been updated.				
CBP-31	The proposed system should provide a system response time that meets or improves upon that of the current system.				
CBP-32	The proposed system should have the ability to send appropriate flags to, and receive them from, applicable databases and/or systems (e.g., DNA on file, registered sex offender, wanted person).				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CBP-33	The proposed system should have the ability to apply flags received from applicable databases and/or systems.				
CBP-34	The proposed system should be capable of storing individual status flags and retaining them historically.				
CBP-35	The proposed solution should be capable of sending a NICS transaction to the NICS indices and populating the CCH record with a flag to indicate that an entry has been made in the NICS Indices and the State Prohibited Person database regarding disqualifying information as the result of defined dispositions received for individuals.				
CBP-36	The proposed system should have the ability to respond to all inquiries and/or requests, including those name-based background checks received via a user application or the Internet.				
CBP-37	The proposed system should have the ability to maintain a table(s) of the most current edits and/or business rules related to criminal history.				
CBP-38	The proposed system should be capable of retaining all forms of alias data elements and providing the option to view all alias elements (and their corresponding arrest event).				
CBP-39	The proposed system should be capable of providing an ability to change the date a record is protected from dissemination. When automating a record that is protected from dissemination that was set years ago, the user should still be able to input the original date the record was protected from dissemination. The proposed system should default to the current date but should have the ability to modify this field.				
CBP-40	The proposed system should be capable of adding a field with the person record with a pick list which includes: "Alias used for this arrest is a result of identity theft" or "Subject is a victim of Identity Theft."				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CBP-41	The proposed system should be capable of providing a prompt for a literal charge on Uniform Charge Table codes.				
CBP-42	The proposed system should be capable of minimally accommodating and processing all the transaction types outlined in the FBI's EBTS (Electronic Biometric Transmission Specification) as noted in the RFP as well as all Interstate Identification Index (III) message keys (MKEs).				
CBP-43	The proposed system should support ALEA compliance with and participation in the National Fingerprint File (NFF) program should the State of Alabama enact the National Crime Prevention and Privacy Compact.				
CBP-44	The proposed system should be able to provide an indication if a given record has been updated from a manually filed fingerprint card.				
Name Search					
CBP-45	The proposed system should have the ability to perform Soundex name searches for all names on file for an individual.				
CBP-46	The proposed system's name search component should employ techniques that accommodate parsing errors for stored names, e.g., first and last names reversed.				
CBP-47	The proposed system's name search component should incorporate nicknames, titles, prefixes, similarity of spellings, and other name information when conducting searches.				
CBP-48	The proposed system's name search component should recognize cultural differences in names and employ these differences when searching.				
CBP-49	The proposed system's name search component should allow for the use of selectable search/matching criteria (use of wildcard characters as well as Boolean operators (using simple words like "and", "or", "not" and "and not") providing focused results).				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CBP-50	The proposed system should accommodate the use and entry of special characters in names, such as apostrophes, hyphens, and other such characters that are part of a legal name.				
Output					
CBP-51	The proposed system should provide the ability to interface with any existing check-endorsement equipment.				
CBP-52	The proposed system should provide the ability for role-based access to the check-endorsement equipment.				
CBP-53	The proposed system should auto-generate hit/no hit letters and the corresponding correct rap sheet (full or conviction only) based on fingerprint results.				
CBP-54	<p>The proposed system should have the capability to notify authorized entities of an arrest for one of their employees or an applicant for whom a fingerprint-based background check was performed. This capability should either be configured to be automatic or based on a subscription by the entity.</p> <ul style="list-style-type: none"> • The entity can select/de-select persons/applicants to be subject of the notifications. • Organizational information can be captured in a configurable table. 				

Rap Back Requirements

Currently, ALEA desires to implement state level rap back functionality in the new CCH. ALEA does not yet participate in the FBI's NGI federal rap back services program. While the functionality for the federal program is not in scope for the initial implementation of the future CCH solution, this is functionality that ALEA may decide to implement in the new CCH.

The proposed CCH solution must be capable of supporting both Alabama-only rap back functionality and provide functionality that supports and complies with the federal NGI Rap Back Program in the event that ALEA chooses to participate in this program.

The table below identifies the components required of the future ALEA CCH system to support Rap Back notifications for criminal justice and civil purposes. The system must support the generation, evaluation,

and dissemination of notifications based on Rap Back rules and statutory limitations.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Rap Back					
RAP-1	The proposed solution shall support background check requests from a variety of input sources, including: <ul style="list-style-type: none"> • Web requests. • Interfaces with other authorized agencies. • Written requests. • In-person requests. 				
RAP-2	The proposed solution shall provide Rap Back functionality for federal and state level enrollments.				
RAP-3	The proposed solution shall provide a mechanism for authorized agencies to track the submission of their background checks.				
RAP-4	The proposed solution shall provide functionality to align rap back services with Alabama law.				
RAP-5	The proposed solution shall allow authorized agencies to request background checks using fingerprints or name/DOB.				
RAP-6	The proposed solution shall provide the ability for an authorized agency to request multiple background checks at once (e.g., batch submission of requests).				
RAP-7	The proposed solution shall provide the ability, if applicable, to accept informed consent from the subject of a background check, via paper or electronic methods.				
RAP-8	The proposed solution shall provide the ability, if applicable, to generate the informed consent form.				
RAP-9	The proposed solution shall support manual processes when a paper-based background check request is submitted.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
RAP-10	The proposed solution shall provide the ability to redact portions of the results per any applicable Alabama statutes or ALEA policies and administrative needs regarding dissemination rules.				
RAP-11	The proposed solution shall allow authorized agencies to receive background check status and results via a secure website.				
RAP-12	The proposed solution shall automatically update the status of background checks that are in process.				
RAP-13	The proposed solution shall allow authorized ALEA users to manually adjust the status/priority of background checks that are in process.				
RAP-14	The proposed solution shall allow authorized entities to subscribe to rap back services for criminal justice and non-criminal justice purposes.				
RAP-15	The proposed solution shall allow ALEA to authorize subscribers (agencies or employers) to have access to appropriate and authorized rap back services.				
RAP-16	The proposed solution shall support, if applicable, a subscriber review or verification process prior to releasing the details of the rap back event (confirming that the subject of the event is still employed by or of interest to the subscriber prior to the release of any criminal justice information).				
RAP-17	The proposed solution shall allow an authorized subscriber to enroll subjects (probationers, predatory offenders, persons under official law enforcement supervision, persons under investigation, etc.) in rap back criminal justice services, including: <ul style="list-style-type: none"> • Submitting fingerprints or other biometric identifiers. • Selecting the purpose of rap back enrollment. • Selecting the term of enrollment. 				
RAP-18	The proposed solution shall support, if applicable, a rap back subscription verification process, including generating a test notification to the subscriber.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
RAP-19	The proposed solution shall support the rap back subject enrollment modification process, including managing the enrollment term and/or purpose.				
RAP-20	The proposed solution shall support rap back subject data modification process, including adding aliases or updating address information.				
RAP-21	The proposed solution shall provide the capability for rap back subscribers to manage notifications.				
RAP-22	The proposed solution shall support rap back subscription and notification by event or category, in accordance with federal rap back standards.				
RAP-23	The proposed solution shall provide the capability for ALEA to define/manage rap back notification triggers.				
RAP-24	The proposed solution shall provide the ability to manage disenrollment (or unsubscribe) from rap back services.				
RAP-25	The proposed solution shall provide the ability to trigger rap back notifications.				
RAP-26	The proposed solution shall provide the ability to send rap back notifications to authorized subscribers in the appropriate form and manner according to configurable statutory dissemination rules.				
RAP-27	The proposed solution shall support rap back management reports for ALEA.				
RAP-28	The proposed solution shall support managing rap back, including: <ul style="list-style-type: none"> Defining rap back types (e.g., criminal/civilian, event/category). Setting fees for rap back services. 				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
RAP-29	The proposed solution shall support background check response/rap sheet redaction rules in accordance with configurable statutory dissemination rules.				
RAP-30	The proposed solution shall provide the necessary accounting mechanisms to collect rap back transactions/payments (and then to distribute them as required for both state and federal fees and fee tiers), and then exchanging these transactions/payments with the State of Alabama accounting system or other possible accounting system via an API (application programming interface) or similar.				
RAP-31	The proposed solution shall support multiple payment methods (as transactions) for background check requests, including money order, credit/debit, etc., but not cash. The actual payments are handled by the the State of Alabama Treasurer with the exchange of these transactions with ALEA.				
Rap Back Standards					
RAP-32	The proposed solution should follow the most recent version of the FBI's Next Generation Identification (NGI) Program Rap Back Service <i>Noncriminal Justice Policy and Implementation Guide</i> .				
RAP-33	The CCH system <i>should</i> follow the most recent version of the FBI's Next Generation Identification (NGI) Program Rap Back Service <i>Criminal Justice Policy and Implementation Guide</i> .				

Analysis Requirements

The table below presents the components required of the future ALEA CCH system relative to the use of the data captured for subsequent analytical decision making, including various types of online and hard copy reporting specifications.

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Analysis					
CAN-1	The proposed system should provide the ability to view individual records for quality assurance (QA) purposes.				
CAN-2	The proposed system should provide the ability for users to write optional free-form comments detailing the reason(s) for changes to a record. These comments should be viewable only by authorized users.				
CAN-3	The proposed system should provide the capability to export report data into any of the standard and commercially available software/report packages or formats such as: .xls, .csv, .txt, Portable Document Format (PDF) and eXtensible Markup Language (XML).				
CAN-4	The proposed system should provide standardized daily, weekly, and monthly system management and QA reports.				
CAN-5	The proposed system should provide a set of standard system and data reports, as well as individual statistics.				
CAN-6	The proposed system should provide the ability to create/generate custom reports as determined by the user on any of the data elements in the CCH database.				
CAN-7	The proposed system should provide the ability to screen for duplicate submissions or persons records.				
CAN-8	The proposed system should provide a way to flag any problems (e.g., possible consolidations, duplicate records/arrests, records that need multi state and Triple III established or incomplete records).				
CAN-9	The proposed system should provide the ability to process both the III Synchronization and the Correlation Files.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CAN-10	The proposed system should provide the ability to generate validation and audit reports on demand for possible future records quality audits.				
CAN-11	The proposed system should provide the ability to automatically produce and print data quality audit reports.				
CAN-12	The proposed system should maintain an audit trail and have the ability to query the audit data based on specific search criteria. The proposed system should also maintain a historical log of the original data.				
CAN-13	The proposed system should provide the ability to automatically monitor reporting time frames and generate a report that can be sent to reporting entities.				
CAN-14	The proposed system should provide an indication if the courts have no disposition for the "old" arrests, as well as to add images of the supporting documentation.				
CAN-15	The proposed system should provide the capability for statistical analysis of all submissions of criminal history information, including sources, methods of submission, date of submission, type of error, and rate of error (relative to overall volume).				
CAN-16	The proposed system should produce and print a report indicating the completeness and timeliness of each of the major data items collected.				
CAN-17	The proposed system should provide the ability to automatically produce and distribute reports via e-mail or the mail.				
CAN-18	The proposed system should provide the ability to produce reports of items or transactions that are in process.				
CAN-19	The proposed system should produce a report that provides a daily count of all CCH update transactions, including rejected submissions.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CAN-20	The proposed system should provide the ability to produce a report of all updates to the system (transaction type and counts).				
CAN-21	The proposed system should produce a report that provides a count of specified elements of the CCH system.				
CAN-22	The proposed system should provide the ability to produce a summary of person-related information, such as name, race, sex, height, and other personal identifiers. The user should then have the ability to inquire into details presented in the summary. In addition, the proposed system should allow for the viewing of person-related images such as pictures or documents.				
CAN-23	The proposed system should provide the ability to produce a summary of arrest-related information by any ALEA-configurable data elements. The user should then have the ability to inquire into details related to the summary.				
CAN-24	The proposed system should provide the ability to produce a summary of charge-related information, such as charge date, disposition, and pertinent contact information. The user should then have the ability to inquire into details related to the summary.				
CAN-25	The proposed system should provide the ability to produce a summary of court case-related information by any ALEA-configurable data elements. The user should then have the ability to inquire into details related to the summary.				
CAN-26	Authorized users should have the ability to query the proposed system's database(s) based on specific search criteria.				
CAN-27	The proposed system should be capable of providing a weekly report to identify new convictions in CCH that may already have a DNA arrestee sample collected. The proposed system should also be capable of producing the batch process to update DNA flags in CCH.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CAN-28	The proposed system should be capable of printing any of the reports or other outputs at administratively configurable locations/printers.				
CAN-29	The proposed system should be capable of supporting ad hoc searching and browsing of CCH records by investigators or other authorized users in the form of an investigative tool. Examples include searching by name, alias name, date of birth (DOB), and height/weight range.				
CAN-30	The proposed system should be capable of supporting a reporting function that can minimally provide data by reporting jurisdiction.				
CAN-31	The proposed system should provide a field that allows comments/remarks to be entered into the field. This field should be displayed on a rap sheet.				
CAN-32	The proposed system should allow an indication of “no disposition available” for arrests in database with no dispositions that are “old” and documentation is no longer available or exists.				
CAN-33	The proposed system should provide a tab for the courts to electronically submit any death notifications/obituaries or any legal documents advising of a person’s death.				
CAN-34	The proposed system should indicate the charge level and class for each charge (e.g., B Felony, A misdemeanor, violation, etc.)				
CAN-35	The proposed system should allow for an amended charge/adjudication.				
CAN-36	The proposed system should prohibit a user from saving a record that is Youthful Offender Act, sealed, or no bill not in protected status and ensure the multi state and Ill pointer has been removed.				
CAN-37	The proposed system should allow that charges protected due to juvenile/Youthful Offender Act/No Bill arrests shall remain protected regardless of future charges.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CAN-38	The proposed system should provide the capability to capture a person's occupation, such as work information and place of employment name, address, phone number, and title.				

Action and Decision Requirements

The table below includes the components required to allow users of the future ALEA CCH system to render business decisions based on the analytical information presented. These decisions should have a downstream effect on other system users. For example, an authorized agency may request background information for an applicant and receive subsequent criminal history updates regarding that applicant.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Responses and Notifications					
CAD-1	The proposed system should provide the ability to identify, and highlight specified convicted charges on a record (i.e., officer safety flags).				
CAD-2	The proposed system should support the utilization of additional flags that can be set based on data entered to the judicial segment of the record.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CAD-3	The proposed system should provide the ability to close specific criminal history information and control dissemination in accordance with the governing Revised Statutes Annotated (RSAs). When disseminated, the data should be prefixed with a statement that quotes the allowances for use and dissemination of the information. This includes the ability to prevent the dissemination of specific records on a national level if a record may not be released for any purpose, i.e., sealing a record maintained at III.				
CAD-4	The proposed system should have the ability to create a rap sheet or response based upon specific criteria.				
CAD-5	The proposed system should have the ability to send a rap sheet or response based upon routing criteria.				
CAD-6	The proposed system should have the ability to limit the data provided in the rap sheet or response based on specified criteria.				
CAD-7	Authorized users should have the ability to request one or multiple rap sheets and have the ability to either view or print the requested rap sheets.				
CAD-8	Authorized users should have the capability to track, display, and print rap sheet dissemination history information for an individual.				
CAD-9	The proposed system should have the ability to create error and reject message(s) and route these messages to the appropriate device, process, or agency.				

Workflow Requirements

The table below describes specifications related to the routing, processing, verification, and storage of information in the future ALEA CCH environment.

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
General Workflow					
CWF-1	The proposed system should provide the ability to perform validations on all incoming data. If an error exists, the system should automatically (or be configured to) send to a “problem” queue or return to the originator for correction.				
CWF-2	The proposed system should provide the ability to process requests for criminal history records from a work-in-process queue.				
CWF-3	The proposed system should provide the ability to track an item of work in process and report its status on request.				
CWF-4	The proposed system should allow for nonsequential processing of criminal history data capture (e.g., the entry of disposition information before arrest or fingerprint-based identification information is entered).				
CWF-5	The proposed system should provide the ability to generate ALEA-configured tracking numbers for transactions.				
CWF-6	The proposed system should provide the ability to match and apply add-on information to an existing record (arrest, charge, and disposition).				
CWF-7	The proposed system should provide the ability to process requests for record corrections, either as a deletion of data/record or as a modification of data/record.				
CWF-8	The proposed system should provide the ability to produce and print current workflow reports.				
CWF-9	The proposed system should provide for the ability to enter and validate all violation, misdemeanor, and felony arrest information.				
CWF-10	The proposed system should recognize a SID in a transaction as either new or existing and proceed with the update accordingly.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CWF-11	The proposed system should incorporate specific edits that control entry of a new record if the mandatory data elements are not provided or if the data does not meet the specified requirements for retention.				
CWF-12	The proposed system should provide a process of rejecting records that includes identification, selection, and communication with the submitting agency.				
CWF-13	The proposed system should provide the ability to produce a detailed and explanatory response to transactions that do not meet all format and content requirements, such as CCH updates or searches. Explanatory responses should be sufficient for a typical end user to interpret its meaning and its implications for corrective action.				
Miscellaneous Transactions					
CWF-14	The proposed system should have the ability to perform III deletions.				
CWF-15	The proposed system should be capable of automatically resolving from the III queue any transaction in the queue that is completed. This same capability is required for any of the other queues that exist on CCH.				
CWF-16	The proposed system should provide the ability to request both summary and detailed information.				
CWF-17	The proposed system should provide the ability to modify an individual's primary name, DOB, Social Security number (SSN), and other primary descriptor elements without deleting and re-adding the individual's record completely.				
CWF-18	The proposed system should have the ability to perform a full record request, based on a specified purpose code.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
CWF-19	The proposed system should have the ability to consolidate multiple SID numbers and all associated criminal history data for these SIDs (identification, supplemental, arrest, and judicial).				
CWF-20	The proposed system should have the ability to provide an e-mail (or otherwise electronic) notification that SIDs have been consolidated.				
CWF-21	The proposed system should provide the ability to set or remove an Identification for Firearms Sales (IFFS) flag from CCH automatically and manually.				
CWF-22	The proposed system should interface with the NICS Indices and be able to set a date range. An example would be a drug charge that would only be disqualified for 365 (or other configurable number) days.				
CWF-23	The proposed system should allow for collection of contact info to provide entry of courts, police departments, sheriff departments, etc. contact information available (ORI, address, phone #, fax #, email, point-of-contact)				
Pending Queue					
CWF-24	The proposed system should have the ability to delete a charge held in the pending queue for an individual.				
CWF-25	The proposed system should have the ability to delete a record held in the pending queue for an individual.				
CWF-26	Authorized users should have the ability to search the pending queue file based on specified search criteria.				
CWF-27	The proposed system should have the ability to modify records held in the pending or any other queue for an individual.				
CWF-28	The proposed system should have the ability to apply pending data to the CCH database when an arrest is entered for data held in the pending queue.				

Optional Functional Requirements

The table below describes specifications that are desired but optional in the future ALEA CCH Environment.

	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Responses and Notifications					
OPT-1	The proposed system should provide the ability to automatically produce and print labels with bar codes (for the batch scanning of multiple document types), ALEA-configurable tracking numbers, or any other user-configurable data element (using label printer).				

NOTE: The requirements in this Optional Functional Requirements table above are desired by ALEA but are **optional** (Not Mandatory/Must) in the vendor's standard or proposed solution. While not initially in scope, vendors are required to respond to each of these optional requirements above in terms of their ability to deliver the functionality. Depending upon vendor's response to **each** of these optional functional requirements, vendor **must** also include the additional cost, **separately**, for **each** of these optional requirements above in their *Attachment G - Cost Response* form if ALEA elects to include them in the final solution configuration.

Technical Requirements

This section includes the baseline set of technical requirements for the future ALEA CCH system environment. These baseline requirements are broken down into the technical areas of criminal records management, including infrastructure, applications, publication, integration, and management and administration.

Infrastructure Requirements

The table below describes elements that provide technology systems and deliver secure and reliable systems. These elements are primarily hardware and networking components.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Hardware					
IN-1	The proposed system(s) should be adaptive and use extensible architecture for future expansion and scalability without the need for major architectural modifications.				
IN-2	The proposed system(s) should be able to minimally process 4,000 transactions per day.				
IN-3	The operational production availability of the proposed system(s) should be at least 99.8%.				
IN-4	The proposed system(s) should be able to provide a response within 1 second of the request being received.				
IN-5	The proposed system(s) should have the capability to execute scheduled, unattended, online system backup.				
IN-6	The proposed system(s) should have the ability to restore from system backups.				
IN-7	The proposed system(s) should operate in conjunction with any ALEA storage manager or backup system that is in place.				
IN-8	The proposed system(s) should be capable of operating on open standards-based platforms, including desktop PCs, and mobile computers.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
IN-9	The proposed system(s) should operate on all user-application-enabled platforms, including desktop PCs, and mobile computers.				
IN-10	The proposed system(s) should be capable of accommodating the current CCH records and database metrics in the RFP. The proposed system(s) should also be sized to accommodate growth of 10% per year.				
Networking					
IN-11	The proposed system(s) should support secure encrypted electronic transmissions.				
IN-12	The proposed system(s) should enable the CCH system to use the Internet as part of its network infrastructure while maintaining required security policies.				

Applications Requirements

The table below describes components required of the software systems that ensure operability in the target environment and includes software platform, storage, and data model specifications.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Applications					
AP-1	The proposed system(s) should provide for access to and manipulation of the database and DB management system.				
AP-2	The proposed system(s) should provide controls to ensure the referential integrity between related data elements in a multiuser environment.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
AP-3	The proposed system(s) application screens should account for the various current functions within the ALEA CCH unit. These screens should have configurable field order to match the fields on the current source documents.				
AP-4	The proposed system(s) should support the capability to either view screens in graphics mode while also enabling “heads down” data entry utilizing just the keyboard and keyboard shortcuts or utilize touch-screen technology.				
AP-5	The proposed system(s) should allow the entry of criminal history data using the existing standard set of codes (table driven) and abbreviations, including offense and disposition codes.				
AP-6	The proposed system(s) should allow for updates via keyboard entry and the Automated Biometric Identification System (ABIS).				
AP-7	The proposed system(s) should provide robust system backup/archiving tools and strategies.				
AP-8	The proposed system(s) should provide system database rollback tools.				
AP-9	The proposed system(s) should provide system transaction logging for the purposes of database recovery in the event of system failure.				
AP10	The proposed system(s) should support the use of pointing devices, hot keys, key combinations, buttons, and hyperlinks.				
AP-11	The proposed system(s) should provide a visual distinction between mandatory and non-mandatory fields, validate data upon submission of the screen for posting, and display errors on the appropriate screen to the user.				
AP-12	The proposed system’s(s’) client application screens should be printable (to configurable local or networked printers) using print commands provided by the system’s user application.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
AP-13	The proposed system(s) should support automatic upgrades or updates.				
User Interface and Organization					
AP-14	The proposed system(s) should provide access to all CCH functions through a logical set of menus. The proposed system(s) should also recognize message switch criminal history-related message keys and understand the function intended.				
AP-15	The proposed system's(s') user interface should be a GUI with the capability of tabbing between fields.				
AP-16	The proposed system(s) should provide default values for fields based on previous input, referential lookup, or other mechanisms. .				
AP-17	The proposed system(s) should provide lookup tables for valid values for fields.				
AP-18	The proposed system(s) should allow for input from peripheral scanners, readers, and other devices.				
AP-19	The proposed system(s) should provide for the storing of the code values and effective dates per code.				
AP-20	The proposed system(s) should translate codes to English language words or phrases on output screens and reports for all codes used (e.g., originating agency identifier (ORI), offense codes, and field names).				
AP-21	The proposed system(s) should support configurable data validation routines within the application.				
AP-22	The proposed system(s) should support the ability to synchronize the current CCH SID and the ABIS composite SID records.				
AP-23	The proposed system(s) should have the ability to perform III/FBI synchronizations and other batch or off-line utility functions.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
AP-24	The proposed system(s) should be capable of providing a system message in-box for administrative messages coming to CCH from the message switch. This should be viewable for programmers and supervisors.				
Database and Data Model					
AP-25	The offeror should convert the existing data and databases so as to migrate the current CCH and SOR databases to the new system. The vendor should also provide as part of the response a description of how the data and databases should be converted.				
AP-26	The proposed system(s) should support the ability to maintain a replication of the CCH database on either a query server or as part of the disaster recovery option.				
AP-27	The offeror should auto-convert 98% of the existing data and databases.				
AP-28	The offeror should have a manual conversion process for the remaining 2% of the existing data and databases that did not get converted in the auto-convert process.				

Publication Requirements

The table below lists components required to ensure user access to information captured by the desired system and includes such elements as global search engine indexing, report-writing services, data transformation services, and subscription and notification systems.

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Dissemination and Reports					
PU-1	The proposed system(s) should comply with state and federal laws prohibiting dissemination or release of non-conviction data, such as arrest-only records, except for authorized criminal justice agencies through tools that allow for simple security maintenance.				
PU-2	The proposed system(s) should ensure criminal history record dissemination is controlled by the source of the search and the data available.				
PU-3	The proposed system(s) should be capable of reproducing a particular response (from that point in time) for a specified and configurable period of time. This time period should default to 3 years initially but should be table-driven and user configurable.				
PU-4	The proposed system(s) should provide for the ability to respond to an applicant fingerprint or name search via paper, electronically to an e-mail address, electronically via currently supported interfaces, or to a data file accessible by the user via the Internet.				
PU-5	The proposed system(s) should produce specific standard criminal history reports in the proper formats, such as the current state format, national standard rap sheet, as well as new “information products” that allow requestors to tailor the display of data.				
PU-6	The proposed system(s) should allow dissemination of criminal history record information to an individual/agency via the system’s user application and over the Internet.				
PU-7	The proposed system(s) should provide the ability to record receipt of background check information by the intended recipient.				
PU-8	The proposed system(s) should provide the ability to generate notifications both to users and other systems in response to submissions or updates.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
PU-9	The proposed system(s) should enable data extracts into any of the commercially available or standard software packages, such as Microsoft Excel, Word, and others).				
PU-10	The proposed system(s) should produce a daily report that provides the number of SID notifications and SID corrections.				
PU-11	The proposed system(s) should provide the ability to search for an individual's record using one or multiple attributes, including ALEA-configured tracking number or SID number, name, DOB, sex, race, and SSN, as well as scars, marks, and tattoos.				
PU-12	The proposed system(s) should provide the ability to search results that include the individual's record or a list of candidates from which to choose. For each candidate, the list should provide identifying attributes, such as name, DOB, sex, race, and SSN. In addition, the search result should identify the matching attributes of the search and present the results in ranking order based on the weight given a matching attribute as is currently provided in a multiple-hit response.				
PU-13	The proposed system(s) should provide the ability to retrieve complete criminal history records, including previously suppressed convictions (if applicable), with a single search (given that necessary data elements are entered to properly distinguish an individual record).				
PU-14	The proposed system(s) should provide ability to perform ad hoc queries.				
PU-15	The proposed system(s) should have ad hoc reporting capabilities.				
PU-16	The proposed system(s) should have the ability to create and maintain standardized reports.				
PU-17	The proposed system(s) should have subscription services capabilities.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
PU-18	The proposed system(s) should be capable of providing an electronic “work report” for the employee to print out daily for the supervisor to review.				

Integration Requirements

The table below describes components involved in the exchange of information between the future CCH system and related public safety systems. Specifications here pertain to the interfaces that move information between systems at a predetermined time (i.e., batch and/or real-time interfaces).

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Interfaces					
IT-1	The proposed system(s) should provide for automated dissemination of state rap sheets to other state and criminal justice agencies via the state message switch (in current format) for those using message switch terminals.				
IT-2	The proposed system(s) should provide for automated dissemination of state rap sheets to other state and criminal justice agencies via the Internet for those using Internet browsers.				
IT-3	The proposed system(s) should accept requests for criminal history record information on an individual via the message switch.				
IT-4	The proposed system(s) should interface with the ALEA State Message Switch and Message Switch terminals, as well as with NLETS.				
IT-5	The proposed system should interface with the Law Enforcement Agency’s Driver License System (LEADS) for DL information, as well				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
	as with Offender Watch, and FPPD.				
IT-6	The proposed system should interface with the Center for Advanced Public Safety (CAPS) products such as ADVANCE, AlaCOP, CARE, Drive Sober Mobile App, eCite, eCrash, eCrime, eSearch & eSwear, LETSGo, MapClick, MOVE, and OIVS as necessary and appropriate.				
IT-7	The proposed system(s) should interface with the state ALEA ABIS, and the statewide Live-Scan deployment.				
IT-8	The proposed system(s) should be capable of automatically sending/receiving transactions to/from ABIS that should delete a fingerprint image when a SID is deleted from the criminal history record.				
IT-9	The proposed system(s) should automatically send/receive transmissions to/from ABIS to suppress a record when the SID record has been suppressed by disposition or court order.				
IT-10	The proposed system(s) should provide the ability to convert and send/receive data to/from ABIS or the ABIS Archive based on the ABIS interface control document (ICD).				
IT-11	The proposed system(s) should provide the ability to convert CCH data as required to meet the FBI EBTS and electronic reporting of fingerprint records. In addition, provide a method of automated disposition reporting in accordance with one of the electronic methods for updating the NGI System.				
IT-12	The proposed system(s) should provide the ability to send electronic FBI-formatted messages and receive responses in FBI format i.e., NIEM XML format.				
IT-13	The proposed system(s) should provide for automated submission of administrative messages from Nlets as well as the FBI (S.A) unsolicited messages FBI to the new criminal history system.				
IT-14	The proposed system(s) should allow submission of criminal history information (initial and supplemental) from both automated and				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
	non-automated systems.				
IT-15	The proposed system(s) should provide for automated FBI responses (FBI rap sheets) via the state message switch (in current message switch format).				
IT-16	The proposed system(s) should provide the ability to efficiently support high-volume batch processing of inquiry, insert, and update transactions against the database. In addition, the proposed system(s) should be able to handle batch canceling of records.				
IT-17	The proposed system(s) should provide the ability to send a transaction to automatically update the NCIC and III record when a new name, DOB, or other demographic data is added to the CCH system.				
IT-18	The proposed system(s) should provide for data structure that identifies other files linked to the criminal history record (i.e., palm-print files, DNA files, ABIS record Y or N, wants/warrants, and SOR).				
IT-19	The proposed system(s) should support authentication of interfaces as well as validation of the data being exchanged.				
IT-20	The proposed system(s) should have the ability to receive queries from external systems and/or databases.				
IT-21	The proposed system(s) should have the ability to respond back to external system and/or database queries.				
IT-22	The proposed system(s) should be capable of full interface and data exchange capability with the state supported SOR system.				
IT-23	The proposed system(s) should be capable of adding a field for "DNA on file" information to be forwarded to the NSOR				
IT-24	The proposed system(s) should be capable of providing an inquiry by ALEA-configured tracking number for message switch terminals to track terminal and user functionality.				

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ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
IT-25	The proposed system(s) should be capable of integrating with or providing a tracking module to track fingerprint card status/flow as well as tracking any or all transactions processed by the system.				
IT-26	The proposed system(s) should be capable of providing the capability to keep CCH in sync with the ABIS database. All corrections/merges initiated by CCH need to flow through to all interfaced systems, as appropriate.				
IT-27	The proposed system(s) should be capable of minimally providing the interfaces and information exchanges outlined in the RFP, including but not limited to: NGI, NCIC, NICS, III, NSOR, Alabama SOR, and the Alabama state message switch.				
IT-28	The proposed system(s) should be capable of automatically sending information to NCIC via the ALEA message switch, both on entry and or modification. This transmission should be automatically triggered when the appropriate entry or modification is made. An error message should be returned with the specific reason that the record is rejected or remains "sent" with no response.				
IT-29	The proposed system should be capable of receiving data from a municipal court via vendor provided interface specification.				
IT-30	The proposed system(s) should be capable of interfacing with credit card payment systems, as well as with the ALEA accounting and law enforcement billing system as appropriate and necessary.				
IT-31	The proposed systems should be capable of an interface with Administrative Office of the Courts (AOC) for arrest, charge and disposition data; as well as with the MSG municipal disposition data.				

Management and Administration Requirements

The table below lists components associated with the management and administration of the proposed system, including the components necessary to ensure successful operation in the desired technical environment, as well as applicable standards and vendor support.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Vendor Support					
MA-1	The proposed system(s) should be based on open systems and open standards (nonproprietary) architecture.				
MA-2	The proposed system(s) should provide for data entry verification based on the roles or permissions of the individual, agency, or outside system.				
MA-3	The proposed system(s) should provide the ability to maintain an agency profile table for providing applicant search requests.				
MA-4	The proposed system(s) should provide the ability for a user to complete and submit electronically – with an electronic signature required – any documentation or user agreements for the access to non-conviction criminal history data.				
MA-5	The proposed system(s) should provide the ability to authenticate by device and person (by password) or by person only (by password or other authentication technology).				
MA-6	The proposed system(s) should, at a minimum, authenticate users with password identification, including multi-factor authentication, as defined by ALEA policy and CJIS Security Policy, and procedure for password requirements prior to disseminating information.				
MA-7	The proposed system(s) should provide the ability to effectively control access to confidential data, as defined by established access policies for authorized users as well as dictated by the nature of the information requested from the proposed system(s).				

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MA-8	The proposed system(s) should control access to networks, application capabilities, and data by work group, user type, and specific user.				
MA-9	The proposed system(s) should provide the ability to specify and implement an automatic logoff for user configurable inactive sessions.				
MA-10	The proposed system(s) should enable an application to be modified by system administrators to meet changing federal and state standards without the need to contract with a vendor to make changes.				
MA-11	The proposed system(s) should include monitoring tools capable of tracking performance and availability.				
Standards					
MA-12	The proposed system(s) should provide sustainment support to ensure the solution remains compliant with all standards and policies outlined in the RFP (especially as noted in Section 1.3 – Document References of the Implementation SOW above) and individually listed below following.				
MA-13	The proposed system(s) should comply with established state ITS standards.				
MA-14	The proposed system(s) should comply with ANSI/NIST interchange standards for fingerprint; facial; and scars, marks, and tattoos information, ANSI/NIST-ITL 1-2000.				
MA-15	The proposed system(s) should comply with FBI CJIS Security Policy v5.9, or latest version.				
MA-16	The proposed system(s) should comply with the most recent version of the FBI EBTS.				
MA-17	The proposed system(s) should comply with NIEM XML standards.				
MA-18	The proposed system(s) should comply with NCIC 2000 data-handling standards.				
MA-19	The proposed system(s) should comply with national rap sheet standards.				
MA-20	The proposed system(s) should comply with NCIC III synchronization function specifications detailed in the NCIC 2000				

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	Operating Manual.				
MA-21	The proposed system(s) should support capability for future participation in the NFF program.				
MA-22	The proposed system(s) should provide the ability to differentiate multiple problem queues (FBI, workflow, Live-Scan, manual).				
MA-23	The proposed system(s) should provide the ability to determine whether an incoming record should be sent to a problem queue throughout the process.				
Logging					
MA-24	The proposed system(s) should provide the ability to automatically log all CCH transactions.				
MA-25	The proposed system(s) should provide an audit log of all criminal history inquiries and should maintain at least 5 years of data plus the current year online and allow for log archiving.				
MA-26	The proposed system(s) should log all successful and unsuccessful attempts to access CCH data.				
MA-28	The proposed system(s) should, at minimum, support the data elements captured in the dissemination log and provide for access, entry, and reports as found in the current system. In addition, it should account for ad hoc reporting. Copies of the current dissemination log can be made available on request.				
MA-29	The proposed system(s) should provide the ability to maintain a history of transactions, including submissions, inquiries, and releases of information.				
MA-30	The proposed system(s) should produce and print reports of dissemination history, including recipients, record subjects, dissemination dates, and report contents.				
MA-31	The proposed system(s) should provide the ability to record, store, and display error messages received or produced. In addition, the proposed system(s) should provide the ability to produce these messages in a report or to deliver them as alerts via an e-mail message to destinations of administrative choice.				
MA-32	The proposed system(s) should provide the ability to track requests for error corrections.				

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MA-33	The proposed system(s) should provide the ability to automatically record statistics about the volume and type of activities performed and the volume and type of documents processed by each person using the proposed system(s).				
MA-34	The proposed system(s) should have the ability to maintain and display the date, time, and operator ID for the entry or last update of an identification record.				
MA-35	The proposed system(s) should be capable of producing a specific audit report regarding modifications. The program should be detailed and should allow access, based on user permissions, to the field that was modified instead of just indicating that the record was modified.				
MA-36	The proposed system(s) should be capable of providing a determination of the difference between a review or viewing of the rap sheet and actual printing of a rap sheet.				
MA-37	All activity in the CCH application shall be recorded in an audit log, to include maintenance routines. If the application accesses or records information, the event should be logged with the user name or identifier, date, and time as a minimum. Logs should be maintained for a configurable but minimum of 3 years, preferably online.				
MA-38	All activity in the application shall be recorded in an audit log. "All activity" includes lookup, entries, modifications, deletions, as well as maintenance routines. If the application accesses or records information, the event should be logged with the user name, date, time, and nature of transaction as an absolute minimum. Logs should be available for query and reporting from within the CCH system. A provision for archiving logs should be provided.				
MA-39	A dissemination log of requests against the CCH should be maintained. The dissemination log should be available for query and reporting from within the CCH. A provision for archiving dissemination logs should be provided				
MA-40	The proposed system(s) should provide the ability to maintain a history of modifications to records and record deletions. This data should be linked to the criminal record element that was modified and provide the date of last modification and the ID of the entity performing the modification.				
Training, Documentation, and Testing					

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MA-41	The vendor should provide training to ALEA personnel for the operation and support of the proposed system.				
MA-42	The vendor should provide all documentation necessary to operate and maintain the proposed system.				
MA-43	All required and appropriate documentation and help files should be electronic and available at each workstation.				
MA-44	The vendor should provide a testing environment separate from the production system. This environment should be used to test system changes or modifications (e.g., enactment of new laws), new interfaces to the database, or data submission.				
MA-45	The proposed system(s) should provide online help functions for each client application screen, to include online access to user manuals as well as training videos as available.				
MA-46	The proposed system(s) should provide a means for authorized users to search, browse, and print the help pages.				
MA-47	The proposed systems should provide a development environment separate from the production system for new software/system changes.				
MA-48	The proposed systems should provide a training environment separate from the production system for agency staff and new employees training.				

Attachment D – Current AL CCH Environment

Current CCH System

The current CCH repository is provided by Computer Products of Illinois, Inc. (CPI). The table below identifies the hardware products and applications in use by CPI.

Ref	Hardware Product	Application
<i>CCH</i>		
1	Message Switch	CPI Open Fox
2	Client for NCIC	CPI Messenger
3	CCH Repository	CPI Open Fox

CCH Records

The current number of records:

Ref	Category	Total
1	SID	1,672,632
2	Arrest Record/Event	5,624,316
3	Charge Records	7,792,323
4	Dispositions	2,531,723

Current records, by type:

- Criminal – 225,452
- Applicant – 70,472
- Total – 295,924

CCH Processing:

- Number of criminal bookings processed on CCH: 195,214
- Number of Expungements processed: 1,020
- Percentage of arrest dispositions received electronically: 0%
- Number of civil-fee applicants requests processed: 63,886

Attachment E – Vendor References Form

For each reference checklist item listed in the table below, offerors are instructed to respond to each item in the table space to the right of the item providing the requested information.

Reference Checklist		
1.	Name of Agency	
	Location of Agency, City/State	
	CCH Records Agency or Other (agency function)	
	System/Solution Installed	
	Year Contracted/Duration	
	Total Contract Value	
	System/Solution Accepted?	
	Agency Contact Name/Title	
	Contact Telephone Number	
	Contact E-Mail Address	
2.	Name of Agency	
	Location of Agency, City/State	
	CCH Records Agency or Other (agency function)	
	System/Solution Installed	
	Year Contracted/Duration	
	Total Contract Value	
	System/Solution Accepted?	
	Agency Contact Name and Title	
	Contact Telephone Number	

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Reference Checklist		
	Contact E-Mail Address	
3.	Name of Agency	
	Location of Agency, City/State	
	CCH Records Agency or Other (agency function)	
	System/Solution Installed	
	Year Contracted/Duration	
	Total Contract Value	
	System/Solution Accepted?	
	Agency Contact Name/Title	
	Contact Telephone Number	
	Contact E-Mail Address	

Attachment F – Vendor Strength and Stability Form

Ref.	Information Requested	Provider Response
Overview		
1	Provider name.	
2	Provider address.	
3	Provider company telephone number.	
4	Parent company or corporate headquarters location.	
5	Provider primary contact person.	
6	Provider contact's e-mail address.	
7	Provider contact's telephone number.	
8	Information about any local branch offices or support centers that serve an CCH account in the United States; number of employees and type(s) of services provided.	
9	Year the provider was established and any former provider names.	
10	Number of years the provider has been in the criminal records business.	
11	Type of company (public or private).	
12	Financial statements and annual reports for the past 3 years.	
13	Amount/percentage of sales reinvested into criminal records research and development.	
14	State and type of incorporation.	
Personnel		
Total number of FTEs in the following CCH business areas:		

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Ref.	Information Requested	Provider Response
15	Customer user support.	
16	Customer technical support.	
17	Research and development.	
18	Project management.	
19	Project implementation and rollout.	
Total person years of CCH experience for your company's employees (e.g., 5 support staff with 3 years of experience each = 15 person years) in the following areas:		
20	Customer user support.	
21	Customer technical support.	
22	Research and development.	
23	Project management.	
24	Project implementation and rollout.	
Provider Customer Support		
25	Estimated average number of resources per calendar year quarter to be dedicated to this client during development and during operations.	
26	Are there user groups in place for your proposed hardware/software?	
27	Does the provider provide toll-free telephone support?	
28	What are the hours of support (e.g., 9 a.m. to 5 p.m. ET, 24x7)?	
29	How is after-hours support provided?	
30	How are support calls classified and prioritized?	
31	How are support calls escalated in an emergency?	

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Ref.	Information Requested	Provider Response
32	What is the average response time to calls?	
33	What is the average service call resolution time?	
34	Will Alabama have direct access to dedicated support personnel to solve a particular issue?	
35	Does the provider offer online access to general information and troubleshooting tools (e.g., a searchable knowledge base, FAQs, training materials, manuals)?	
36	What is the duration of the warranty?	
37	When does the warranty begin?	
Pending Litigations		
38	Number of pending, in-progress and closed litigations that the company has been involved in the past 5 years. Please attach a separate document with the details of each situation (client name, date, and description/cause).	
39	Number of situations in which the company has been subject to liquidated damages in the past 5 years. Please attach a separate document with the details of each situation (client name, imposed amount, imposed date, collected amount, date collected, and description/cause).	

Attachment G – Cost Response Form

Vendors **shall** complete all five (5) sections below of this cost response form for their proposed system solution for a complete CCH Solution Service Hosted at Vendor selected site, including responsibility for network connectivity between the primary and DR/COOP sites to a central network point of presence in Alabama (ALEA-Montgomery).

NOTE: ALEA will consider cost proposals that include reasonable and clearly defined (deliverable-based) milestone payments during implementation phase leading to final system acceptance. If offerors wish to propose such reasonable and clearly defined (deliverable-based) milestone payments during the implementation phase leading up to final system acceptance, offeror must list/outline the proposed milestones with each milestone named along with a detailed description of what the milestone deliverable would be and including the proposed milestone cost.

**The four (4) milestone line items included in Section 1 are a guide, not the required number of milestones. Offerors may propose fewer or more milestones. However, Offerors should only propose a minimum and reasonable number of major milestone payments. For example, they should not propose milestone payments for each deliverable outlined in their Implementation Statement of Work response.

Cost proposal scoring is based on the cost total for Sections 1-3 of this form.

Section 1 - Milestone Payments (during implementation phase only)

Provide prices for each proposed separately described (in detail) and priced milestone deliverable. Each proposed milestone deliverable during implementation must be measurable or quantifiable in order to be accepted.

- Milestone 1 – Detailed description of milestone 1 and price. \$ _____
- Milestone 2 – Detailed description of milestone 2 and price. \$ _____
- Milestone 3 – Detailed description of milestone 3 and price. \$ _____
- Milestone 4 – Detailed description of milestone 4 and price. \$ _____

Total of all proposed Milestone Payments during Implementation Phase. \$ _____

Section 2 - Base Contract Price for Hosted Service

2.A – 2-year base contract plus 3 optional extensions (3.A) below

Provide the **annual** price for the base 2-year hosted service contract upon final system acceptance:

\$ _____

Total of the Annual Base Contract Price for Hosted Service (2 x Annual Price above):

\$ _____

2.B – 6-year base contract plus 4 optional extensions (3.B) below¹

Provide the **annual** price for the base 6-year hosted service contract upon final system acceptance:

\$ _____

Total of the Annual Base Contract Price for Hosted Service (6 x Annual Price above):

\$ _____

Section 3 - Contract Extension Options

3.A – 2-year base contract (2.A) above plus 3 optional extensions

Provide prices for each and all four of the following separately priced contract extensions, *including* full Active/Active DR/COOP system solution.

- Option 1 – Price per year for the *first* 1-year option period. \$ _____
- Option 2 – Price per year for the *second* 1-year option period. \$ _____
- Option 3 – Price per year for the *third* 1-year option period. \$ _____

Total of the 3 Optional Annual Contract extensions for Hosted Service: \$ _____

3.B – 6-year base contract (2.B) above plus 4 optional extensions²

Provide prices for each and all four of the following separately priced contract extensions, *including* full Active/Active DR/COOP system solution.

- Option 1 – Price per year for the *first* 1-year option period. \$ _____
- Option 2 – Price per year for the *second* 1-year option period. \$ _____
- Option 3 – Price per year for the *third* 1-year option period. \$ _____
- Option 4 – Price per year for the *fourth* 1-year option period. \$ _____

Total of the 4 Optional Annual Contract extensions for Hosted Service: \$ _____

Section 4 - Fixed Hourly Rate³

Provide a blended (labor & expenses) Fixed Hourly Rate for Professional Services to be used for calculating the Maximum Fixed Price for Professional Services that may be requested by State under the resultant Agreement; for services requested that may be outside of the scope of the initial contract and SOWs:

\$ _____

¹ Will not be used in calculation of Cost Response evaluation scoring.

² Will not be used in calculation of Cost Response evaluation scoring.

³ Will not be used in calculation of Cost Response evaluation scoring.

Section 5 – Added Annual Base Contract Price (each) for Optional Requirement⁴

Provide the additional **annual** price increase-only for the base 2-year hosted service contract to provide the functionality of this optional requirement:

- Optional Requirement 1 – Requirement ID of optional requirement and price.
\$ _____

⁴ Will not be used in calculation of Cost Response evaluation scoring.