Alabama CCH Modernization RFP
Proposer Questions and Responses
8/26/2022

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1	Page 24	Section 5.4.1.2 Question Number 11	states "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."	Please confirm that this is NOT required with the proposals.	It is **not** required with the proposals, only if successful vendor.
2	Attachment B	Interfaces		o Who is the Biometric provider? o Is there a Document provider? o Is there a Store and Forward provider?	o NEC o ALEA currently has no document management system. o ALEA does not have a Store and Forward solution. The exact nature of interfaces will be further explored during the system design process.
3	Attachment B	Interfaces		o What vendors do the courts use, and what is the expected mechanism to	AOC uses a custom-built solution for state courts.

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				interact with courts in order to retrieve disposition data? ○ Is it expected that we would be communicating with multiple courts, or would there be a centralized system?	ALEA receives a daily update from AOC. However, ALEA currently does not have an automated disposition submission solution that updates the CCH. There is currently no interface to the municipal courts. This functionality is desired in a future solution.
4				Does ALEA have a preference regarding the project management methodology used for development (eg. Waterfall vs Agile)?	No preferred PM methodology, just require a proposed project management organization for the project lifecycle.
5				Are the deliverables to be delivered with the proposal examples or should the content be specific to the proposed project?	Provide proposed drafts of Attachment A, B, C, and E (PMP, TEMP, IMS, and SLP) for this project. For Attachment D, descriptions for all DELs will suffice. This is addressed in p. 30 of the RFP.

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6	Page 23	Section 5.4.1.2 Question Number 1	The RFP says to submit the "RFP Confirmation of Offer form" (attachment labeled Confirm).	Where is this form?	There is not a form. The requested information, which is detailed in Section 5.4.1.2, should be included in a cover letter that follows the Cover Sheet.
7	Attachment A	Subsection 1 "Audits" Section 1, titled, "CCH Implementation SOW Response Instructions" has a sub-section titled, "Audits".		o Besides the specific technical auditing requirements that will be addressed very specifically in the technical proposal, what, if any, are the additional Auditing requirements? o Unlike other sub-sections that have specific deliverables (DELs) and descriptions in the SOW (e.g. the "Training" sub-section), this is not true of the auditing section. We are interested in identifying if there are other auditing requirements other than the technical requirements to produce auditable events (e.g. logs, changes, deletions, etc).	There are no additional audit requirements beyond those in the functional and technical requirements. For the Implementation SOW, provide an overall approach to auditing.

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8	Attachment A, Page 30	Subsection 1	Indicates the proposal should include the following attachments: Attachment A - Project Management Plan, Attachment B - TEMP, Attachment C - IMS, Attachment D - Deliverable Descriptions, Attachment E - Service Level Plan.	However, in IMP SOW 1 - Project Deliverables, Page 51 indicates that (in addition to the above), DEL-10 - In-Plant Security Plan should also be provided "with proposal and with update – within 30 days after the Effective Date of the Agreement." Is the DEL-10 In-Plant Security Plan required with the proposal or not?	DEL-10 is not required with the proposal. We will edit the DEL tables to remove "with proposal and with update".
9	Attachment C - CCH Specifications	Responding to Requirements Page 73-74		An attachment (from vendor) for the requirements has been included (with this question). Please confirm if this example is how the State desires requirements to be presented.	ALEA prefers/requires that requirements be responded to numerically in the order they are listed in the RFP, not listed or categorized according to the vendor's responses.
10				Will the recoding (of the Vendor Conference) be available for review?	No, however, a list of Vendor Conference participants will be provided separately with these responses.
11				Quick question, there was a pre-bid meeting yesterday for the Computerized Criminal History RFP and we were unable to attend. Is there a	No. Vendor Conference meeting attendance was mandatory in order to submit a proposal, and no

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				chance we could get a copy of the recorded meeting, and are we still able to submit a response for the bid? We feel terrible not attending the meeting, and don't want to miss out on an opportunity that is for what we specialize in.	copy of the recording will be made available.
12				This message is in reference to RFP #22000000009 Computerized Criminal History System Modernization Project. The RFP provided by the State is impressively comprehensive and detailed. We would like to request that the State provide a 3-4 week extension of the submission date to allow us sufficient time to analyze all of the information and develop and equally comprehensive, high quality.	After receiving this initial question, an additional 2 weeks were added to the time for submitting proposals from the first posting. Additional extensions will not be granted.
13				Could you please help me with the following question: 1. Whether companies from Outside USA can apply for this? (like, from India or Canada)	No. From MMS-6 of the RFP: All work performed to satisfy the requirements of the contract resulting from this Request for Proposal (RFP) must be performed in the United States.

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14				Could you please help me with the following question: 2. Whether we need to come over there for meetings?	Yes, as appropriate and required.
15				Could you please help me with the following question: 3. Can we perform the tasks (related to RFP) outside USA? (like, from India or Canada)	No. From MMS-6 of the RFP: All work performed to satisfy the requirements of the contract resulting from this Request for Proposal (RFP) must be performed in the United States.
16				Could you please help me with the following question: 4. Can we submit the proposals via email?	No, all proposals required to be on paper.
17		General		Does the customer still want a reporting database, as they now have one? Would it be located on site in alabama or at CPI	There is no requirement for a separate reporting database in this RFP. See Operations SOW-(section 1.1.4) - Report Generation - regarding requirements for the production database. Reporting requirements are found in the Analysis (CAN) and Publishing (PU)

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					sections of the functional requirements.
18		Integration Requirements (IT-6-14, IT-16-23, IT-25-26, IT-29-31)		What are the interface options, including communications protocols e.g. Web services (SOAP or RESTful), TCP-IP, SFTP, ODBC, JDBC, etc.?	ALEA prefers moving to Web services for future interfaces but for the initial implementation, the solution must adapt to any interface protocols for current interfaces.
19		Integration Requirements - IT-6		Is the interface option the same for all CAPS products listed?	There is currently no interface between CCH and the CAPS applications. This is a future desire. ALEA will work with the selected vendor on developing a single interface to CAPS applications.
20		CBP-2	The proposed system should employ event-driven processes.	example?	An example of an arrest-driven process is a person being arrested and the arrest information automatically triggering an update to the CCH.
21		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.	Clarify, cancel and reactivate. Does cancel mean delete? does reactivate mean restoring expunged, sealed, or consolidated records?	An addendum will be provided to include the definitions of the terms, as well as updating the

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					language for this requirement. ALEA does not permanently delete any records. We protect the record from dissemination.
22		CBP-5	The proposed system should have the ability to create, delete, and cancel supplemental information for an individual.	Clarify Cancel? how is this different than delete?	See answer to #21 above.
23		CBP-6	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: 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.	Please clarify how this applies to expunge/seal/consolidate functionality for applicant records.	An addendum will be provided that will add a requirement for applicant records.

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24		CBP-48	The proposed system's name search component should recognize cultural differences in names and employ these differences when searching.	Cultural Differences? can an example be provided?	Example: In some cultures, the surname is used first. (e.g., Yao Ming's surname is "Yao").
25		CAN-4	The proposed system should provide standardized daily, weekly, and monthly system management and QA reports.	example or work report?	Example: A report of the number of SIDs added to the CCH database on a given day/week/year, etc.).
26		CAN-5	The proposed system should provide a set of standard system and data reports, as well as individual statistics.	Can we get examples?	The response must relay the vendor's approach to reporting, what the reporting mechanism entails, and the versatility of capabilities for ALEA.
27		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 we get examples?	Examples: Generate a report that summarizes and provides specifics on the date of arrest vs. date received by ALEA. Generate a report of the time from Date of Arrest to Date of Receipt of Disposition.

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28		CAN-16	The proposed system should produce and print a report indicating the completeness and timeliness of each of the major data items collected.	example or work report?	Example: Produce a report of arrests received in a certain time without disposition.
29		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.	example or work report?	Examples: User work log report. Task status report.
30		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.	delete records or delete from workflow queue? If from queue where should they be put in the workflow?	Example: Delete items from the workflow queue, and present option to delete or retain the item in a pending work queue.
31		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	How often do we expected new transactions will be requested? Specify what needs to be processed for sex offender registrants.	New TOTs are infrequent. An addendum will provide to update the language of this requirement.

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			processing any new transactions that may be required in the future.		
32		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.	Please specify what the business rules for automated handling are.	Business Rule: Do not update non-reportable charges in CCH. For example, a person is arrested for vehicular homicide and speeding, the speeding charge is not retained in CCH.
33		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.	Please provide the current batch process volume and expected increase rate	There are no batch processes currently in use. The proposed solution should be capable in the future of providing things such as batch disposition uploads, or records for a disposition backfill project.
34		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.	How do we know when first and last names are reversed?	The proposed system is not required to "know" when first and last names are reversed. Rather, there should be a search mechanism that recognizes that there may

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					be a potential record inconsistency for the name field nomenclature.
35		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.	For electronic submission, how to identify the individual?	This question does not pertain to the requirement being referenced.
36		RAP-23	The proposed solution shall provide the capability for ALEA to define/manage rap back notification triggers.	Is this before or after initial procution release?	ALEA does not currently perform a state or federal rap back. This capability must be available for future use. The timing for use is currently unknown.
37		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.	Could you provide example of configurable dissemination rules?	Examples: If there is a rap back hit, the system first sends a request to the subscriber to confirm that the individual is employed by the subscriber and enrolled. If one authorized recipient is authorized to only receive criminal convictions, and a new

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					arrest is added to the record. No notification would be made until the conviction disposition was entered.
38		RAP-27	The proposed solution shall support rap back management reports for ALEA.	Could you specify the different reports?	Rap back management reports include a variety of reports. An example of one such report is: A report listing individuals currently enrolled in rap back for the Department of Education.
39		Attachement G - Pricing	Section 1	Can we add or delete the number of Milestones?	Yes. This is explained in the instructions for the Cost Response Form.
40		Attachement G - Pricing	Section 2.A	Is this one price for a 2-year term?	We are developing a revised Cost Response Form and will release it as an addendum.
41		Attachement G - Pricing	Section 2.B	Is this in addition to 2.A in terms of years, or in lieu of sectoin 2.A	We are developing a revised Cost Response Form and will release it as an addendum.
42		Attachement G - Pricing	Section 3.A	So this total makes five years total maintenance/Support plus the two year (requested) project	We are developing a revised Cost Response

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				duration for a total of seven years?	Form and will release it as an addendum.
43		Attachement G - Pricing	General	Which Sections are being scored for pricing?	We are developing a revised Cost Response Form and will release it as an addendum.
44		CWF-8	The proposed system should provide the ability to produce and print current workflow reports.	Can we get an example?	Example: A report of the number of records at each point in the workflow.
45		RAP-1	The proposed solution shall support background check requests from a variety of input sources, including: ● Web requests. ● Interfaces with other authorized agencies. ● Written requests. ● In-person requests.	Please clarify the second bullet point. Do you intend to allow "other authorized agencies" to interface using the web portal solution?	ALEA works with 5 Channelers to submit fingerprint transactions; there is a web-based name search application for authorized entities, and they allow written requests as well as In-person requests.
46		RAP-18	The proposed solution shall support, if applicable, a rap back subscription verification process, including generating a test notification to the subscriber.	Can we get clarification on "rap back subscription verification process"?	When an authorized subscriber enrolls an individual in rap back, there needs to be a way to confirm the enrollment, such as generating a test notification.

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47		RAP-24	The proposed solution shall provide the ability to manage disenrollment (or unsubscribe) from rap back services.	Is this something that is also needed for public users and name search applicants?	This requirement is specific to rap back, not public users or name search applicants.
48		RAP-25	The proposed solution shall provide the ability to trigger rap back notifications.	Does this imply that rapback notifications will be able to be triggered manually or is this just the automatic variety which is standard?	Automatic notifications. The decision on whether they route to ALEA first or straight to the subscriber will be determined during solution development.
49		RAP-28	The proposed solution shall support managing rap back, including: ● Defining rap back types (e.g., criminal/civilian, event/category). ● Setting fees for rap back services.	Would there be a payment portal where the definable fees would be submitted and updated to that portal from the adjustment to said fees from the application? Is this intended to be something the customer can adjust on their own? Where would the editing of this information be done?	Rap back has not been implemented yet in Alabama. We will work with the selected vendor on the details of defining types and fees.
50		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 State of Alabama Treasurer with	This indicates that we will need to interface with the state of Alabama, do they plan on handling payments for all users or just the agencies that are enrolled? Will public users interface the same way and use the state's payment system?	An addendum will provide to update the language of this requirement.

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			the exchange of these transactions with ALEA.		
51		CBP-16	The proposed system should provide the ability to link arrest records to other supplemental reports.	Clarify suplemental "reports" or do they mean supplemental data?	"Reports" should be changed to "records".
52		RAP-24	The proposed solution shall provide the ability to manage disenrollment (or unsubscribe) from rap back services.	Is this something that is needed for public users and name search applicants?	This is a repeat of vendor question #47.
53		RAP-51	The proposed solution shall provide the capability for rap back subscribers to manage notifications.	Which users are able to manage notifications, and which notifications are they allowed to manage?	Subscribers must be able to delete the subscription when they are no longer authorized to receive results. They may also be allowed to set expiration dates, as appropriate. They should not be allowed to subscribe directly, as that should be part of the process upon completion of the fingerprint-based check.
54		Section I Introduction	This will be an open and competitive bid process. The capabilities of the selected vendor's solution will include, but not be	Are we expected to provide all Networking or just our side to complete the "Handshake" to ALEA? Hardware is mentioned	The vendor is expected to "Provide management of the necessary network elements between and up

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			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.	but this is a SaaS CCH so does the hardware pertain to a DR location?	to the ALEA firewall at the ALEA point of presence (ALEA CCH Datacenter)." and the vendor-proposed data centers. As described under Section 1.2.1 – Scope of Work (p. 32) in the RFP.