REQUEST FOR PROPOSAL

Automated Fingerprint Identification System (AFIS) Modernization Project

RFP 20000000002

Issued: December 2, 2019

Alabama Law Enforcement Agency
201 South Union Street
Montgomery, AL 36104
(334) 517-2800
www.alea.gov

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Glossary

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

Acronym	Definition
ABIS	Automated Biometric Identification System
AFIS	Automated Fingerprint Identification System
ALEA	Alabama Law Enforcement Agency
ALS	Alternate Light Source
ANSI	American National Standards Institute
CAR	Criminal Tenprint Submission
CCH	Computerized Criminal History
CJIS	Criminal Justice Information Services
CJSD	Criminal Justice Services Division
COOP	Continuity of Operations
COTS	Commercial, Off-the-Shelf
DEK	Known Deceased
DEU	Unknown Deceased
DOB	Date of Birth
EBTS	Electronic Biometric Transmission Specification
EFS	Extended Feature Set
ERRA	Administrative Transaction Error
ERRI	Image Transaction Error
ERRL	Latent Transaction Error
ERRT	Tenprint Transaction Error
FBI	Federal Bureau of Investigation
FFT	Fast Fourier Transform
FIS	Fingerprint Image Service
FISR	Fingerprint Image Submission Response
IMP SOW	Implementation SOW
IMS	Integrated Master Schedule
ISO	International Standards Organization

Acronym	Definition
IT	Information Technology
JPEG	Joint Photographic Experts Group
KP-LT	Known Palm to Latent
LCMS	Latent Case Management System
LEA	Law Enforcement Agency
LFFS	Latent Friction Ridge Feature Search
LI	Latent Inquiry
LPNQ	Latent Penetration Query
LPNR	Latent Penetration Query Response
MAP	Miscellaneous Applicant Civil
NFIQ	NIST Fingerprint Image Quality
NFUF	Non-Federal Applicant User Fee
NGI	Next Generation Identification
NIST	National Institute of Standards and Technology
OPS SOW	Operations SOW
ORI	Originating Agency
PDF	Portable Data Format
PMO	Program Management Organization
PMP	Project Management Plan
PPI	Pixels per Inch
QC	Quality Check
RFP	Request for Proposals
SID	State Identification Number
SLP	Service Level Proposal
SOW	Statement of Work
SRE	Submission Results-Electronic
SRL	Search Results-Latent
STAARS	State of Alabama Accounting System
TEMP	Test and Evaluation Master Plan
TLI	Tenprint to Latent Inquiry
TCN	Transaction Control Number

Acronym	Definition
TOT	Type of Transaction
TPIS	Tenprint Fingerprint Image Search
TP-LT	Tenprint to Latent
TPRR	Tenprint Rap Sheet Response
TP-TP	Tenprint to Tenprint
UAT	User Acceptance Testing
UPS	Uninterruptable Power Supply
ULM	Unsolved Latent Match
ULW	Universal Latent Workstation
VDI	Virtual Desktop Infrastructure
VSS	Vendor Self-Service

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, Automated Biometric Identification System ("ABIS") service ("Service") 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 AFIS, provided by NEC of America, Inc. The existing system is used by the ALEA and all law enforcement agencies (LEAs) within the State of Alabama. Vendors must have specific state identification bureau experience with biometric based identification systems and must propose a solution with products that would encompass minimally the same or enhanced features, functionality and hardware components required in a new, contemporary solution as that utilized in the current AFIS environment, including additional, palm-print and mobile/rapid biometric identification functionality. The proposed system should be capable of supporting other means of biometric identification, such as facial recognition and iris matching, for possible system use in the future.

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 provider hosted ABIS environment with a geographically separated disaster recovery/continuity of operations environment to serve ALEA and all LEAs within the State of Alabama; on an ABIS-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, 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 18 to 24 months from contract signing.

Vendor responses to this RFP must include, but not be limited to, software licensing and implementation, ABIS system solution hosting at a Vendor facility (including a disaster recovery/continuity of operations site (DR/COOP), project management, training, customizations, data migration, ongoing maintenance, support and reporting services, all based on a COTS vendor-hosted ABIS-as-a-service 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 ABIS components and the biometric identification 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 - ABIS Specifications.
- Attachment D - Current AL AFIS Environment and Workflows
- Attachment E - References Form
- Attachment F - Vendor Strength and Stability Form
- Attachment G - Cost Response Form

1.2.1   ABIS Specifications

The ABIS 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 ABIS Specifications document is in Attachment C. Note that the word "SHALL" in bold font denotes requirements.

1.2.2   Implementation SOW

The Implementation SOW defines the scope of work required throughout the so-called developmental phase of the ALEA ABIS 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. Note that the word "SHALL" in bold font denotes requirements.

1.2.3   Operations SOW

The Operations SOW defines the scope of work required throughout the so-called operational phase of the ALEA ABIS 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. Note that the word "SHALL" in bold font denotes requirements.

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 Requirements

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

ID	Specification	Meets	Does Not Meet
MMS-1	Vendor must be established prime manufacturers of ABIS systems with equivalent ABIS installations (equivalent in terms of ABIS functionality, database size, transaction throughput and identification 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. Vendor has to have implemented their solution in at least two U.S. State Identification Bureau (SIB) level environments, of similar size and complexity to that of the State of Alabama, within the last 4 years.		
MMS-2	The RFP response must include a minimum of 3 qualified references for the provider's solution as required by the RFP. 2 of the 3 must be SIBs per MMS-1 above, the 3rd can be any current customer of the vendors product.		
MMS-3	The vendor must provide a fully integrated and managed solution. If a cloud-based solution is proposed, it must utilize a private government cloud model that is approved by the State of Alabama. The vendor will be responsible for managing all aspects of the service proposed.		
MMS-4	The data will be solely owned by the ALEA and the State of Alabama.		
MMS-5	The solution hosting platform, all solution components, data, database, disaster recovery site, and business continuity sites **SHALL** be physically located in the United States and the transmission of data **SHALL *NOT*** leave the continental United States.		
MMS-6	All work performed to satisfy the requirements of the contract resulting from this Request for Proposal (RFP) must be performed in the United States.		

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	December 2, 2019
Vendor Conference	December 10, 2019
Vendor Final Questions Due	December 23, 2019
Answers to Vendor Questions Due	January 6, 2019
Close Date - RFP Responses Due	January 24, 2020
Bid Opening	January 27, 2020

For any questions or issues, please contact the RFP Coordinator
Beverly Anderson
(334) 242-1637
Email: Beverly.Anderson@alea.gov

Responses to this RFP must be received in the ALEA Accounting Office by 4:00 p.m., Central Standard Time, on January 24, 2020. Packages must be clearly marked as:

ALEA RFP 20000000002: Purchasing Beverly Anderson
Sealed Bid DO NOT OPEN.

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 January 27, 2020, at 10:00 am 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 six (6) year period. ALEA reserves the right, however, to include up to four (4), one-year renewal options, at its discretion, in any initially awarded contract. 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 ABIS solution as a provider-hosted service. The State of Alabama will provide a point of presence for the ABIS 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 – ABIS Specifications, B – ABIS Implementation Statement of Work, and C – ABIS Operations Statement of Work.

3.2   **Milestones and Deliverables**

Required milestones and deliverables are detailed in the following Attachments: A – ABIS Specifications, B – ABIS Implementation Statement of Work, and C – ABIS 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: Beverly Anderson
> 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 20000000002," hour, due date 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.

Vendor's Name	
Vendor's Address	
	State of Alabama
	Alabama Law Enforcement Agency
	Accounting Division
	Attn: Beverly Anderson
	301 South Ripley Street
	Montgomery AL 36104
ALEA Accounting	
RFP 20000000002	
RFP Hour and Due Date:	Sealed Bid DO NOT OPEN
4:00 p.m. CST, January 24, 2020	

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

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 January 24, 2020. The subject line of the e-mail should read "RFP20000000002". 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 December 23, 2019. The subject line of the e-mail should read "RFP 20000000002". 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	Percentage
Experience, Expertise, Knowledge, Stability, and References of Vendor	10%
Approach to Project Management, System Implementation, Training, and Migration	10%
Response to ABIS Requirements Specification	30%
Response to SOW – Implementation	15%
Response to SOW – Operations	15%
Proposed Cost	20%
Total Possible	**100%**

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 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 ABIS RFP, for inclusion as instructions in the ABIS 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 ABIS 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 - ABIS Functional Requirements Specifications

3)   Volume 3 - ABIS 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 ABIS 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 ABIS 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 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 ABIS RFP will be incorporated into the contract.

5.4.1.11 SOW Responses

Response to ABIS 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 ABIS 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 ABIS SOWs referenced above, the Vendor will then proceed with its response to the ABIS System Requirements Specifications as instructed below.

5.4.2   Volume 2 - ABIS Functional Requirements Response

The Vendor **SHALL** describe its understanding of the State's functional requirements provided in the Functional Requirements subsection of the ABIS 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 - ABIS Technical Requirements Response

The Vendor **SHALL** describe its understanding of the State's technical requirements provided in the Technical Requirements subsection of the ABIS 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 ABIS 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 – ABIS Implementation Statement of Work (SOW)

Vendors **SHALL** read all sections of this attachment and **SHALL** prepare their response to this ABIS Implementation SOW for inclusion with their proposal regarding the ALEA ABIS RFP, for their proposed system solution. Vendor'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 18 to 24 months from contract signing.

Section 1 - ABIS Implementation SOW Response Instructions

The Vendor **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 Vendor **SHALL** address methodology and tools, assumptions, risks, applicable standards, deliverables and deliverable content. The Vendor **SHALL** address, at a minimum, the following areas:

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

Design and Development Approach. The Vendor **SHALL** describe its approach to satisfying the design and development approach requirements of the ABIS IMP SOW. The Vendor **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 Vendor **SHALL** describe proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used.

The Vendor **SHALL** discuss risks associated with its proposed design solution and describe plans for mitigating those risks. The Vendor **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 Vendor **SHALL** describe the engineering tools, including models, simulations, and prototypes, to be used in support of the Studies and Analyses efforts.

The Vendor **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 ABIS requirements.

Vendor Test. The Vendor **SHALL** describe its approach to satisfying the Vendor test requirements of the ABIS IMP SOW. The Vendor **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 Vendor **SHALL** describe the types of testing that will be performed in each developmental phase and level of system assembly. The Vendor **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 Vendor **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

Vendor **SHALL** identify the tools to be used (e.g., load simulators, interface simulators) and the test databases to be used describe how the tools and databases will be used.

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

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

The selected Vendor **SHALL** 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 Vendor 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 Vendor **SHALL** describe its approach to satisfying the System Test (including System Acceptance Test) requirements of the ABIS IMP SOW, including proposed activities, deliverables, descriptions of deliverable content, and methods and tools to be used.

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

The Vendor **SHALL** describe the technical and management approach for Site Installation, Legacy Data Conversion, and Data Load. Regarding legacy data conversion, Vendor must understand and specifically state their understanding that there are as many as 1,500,000 records in the legacy AFIS, in one of the following formats: *NEC proprietary format, electronic (on a hard drive), hard cards, and microfiche.* These records need to be included in the data conversion effort by Vendor. ALEA will not scan the hard cards and therefore must be included in the migration and implementation SOW and service fee. The Vendor **SHALL** indicate how the project activities and control gates identified in the ABIS IMP SOW will be iteratively applied for these deployments. The Vendor **SHALL** indicate the methods, without use of ALEA personnel or resources, to be used for migration of deliveries to operations. Vendor SHALL Identify migration issues related to deployment and cutover from the legacy system (Existing System). The Vendor **SHALL** discuss how the proposed technical and management approach to deployment mitigates those issues.

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

The Vendor **SHALL** provide substantiation of its understanding and the viability of its migration approach.

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

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

The Vendor **SHALL** identify the risks inherent in the training approach and discuss its mitigation strategies.

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

COOP Planning. The Vendor **SHALL** describe its approach to satisfying the COOP requirements of the ABIS 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 Vendor **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 Vendor **SHALL** also describe the constraints, assumptions, and overall approach used in deriving the COOP Plan.

The Vendor **SHALL** provide substantiation of its understanding and the viability of its approach.

The Vendor **SHALL** identify the risks inherent in the COOP approach and discuss its mitigation strategies.

Program Organization. The Vendor **SHALL** describe the proposed Program Management Organization (PMO) and how it satisfies these requirements of the ABIS IMP SOW. The Vendor **SHALL** discuss how the proposed PMO (including subcontractors and vendors) is organized (an organizational chart should be included); how it fits into the Vendor'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 Vendor **SHALL** identify and discuss the principal interfaces and reporting mechanisms internal to and external to the PMO as well as elements of the Vendor's support organization.

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

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

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

Response to ABIS Security

The Vendor **SHALL** describe its approach to satisfying the security requirements of the ABIS System Implementation SOW and the ABIS System Operations SOW.

The Vendor **SHALL** state how the security requirements of the ABIS SOWs will be met. The security response **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 Vendor will comply with all personnel, physical, and technical requirements of the solicitation.

The Vendor **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 Vendor **SHALL** describe the Vendor's security organization, showing lines of communication to corporate management and explaining why this organization is appropriate for the project.

The Vendor **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 ABIS services to the State as instructed in **Section 5.4.1.5 - Overall Solution Approach** in the body of the ABIS RFP, Vendors **SHALL** also introduce and provide the elements described below in the order presented as follows:

Appendix A – Project Management Plan (PMP). The Vendor **SHALL** submit with the Business Proposal a PMP.

Appendix B – Test and Evaluation Master Plan (TEMP). The Vendor **SHALL** submit with the Business Proposal a TEMP.

Appendix C – Integrated Master Schedule (IMS). The Vendor **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 ABIS 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, Vendors are advised that, all else being equal, the greater the detail, the greater the confidence evaluators will have in the proposed schedule.

Appendix – Deliverable Descriptions. The Vendor **SHALL** submit with the Business Proposal a specification of the proposed format, content, and level of detail for each Deliverable item required by the ABIS SOWs, and any other deliverable items proposed by the Vendor. While State has chosen to leave the content, format and level of detail of individual Deliverables to the discretion of Vendors, the Vendors are to follow the format and content of Attachment A or B (Implementation SOW or Operations SOW).

Appendix – Service Level Proposal (SLP). The Vendor **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 Vendor 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. Vendors must ensure that their proposed SLP includes all of the required service level performance and capacity specifications outlined in the Technical Requirements section of Attachment C (ABIS Specifications) to the RFP.

Section 2 – ABIS Implementation Statement of Work

This section of Attachment A provides the implementation statement of work expected for the ABIS 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 Automated Biometric Identification System ("ABIS") for the State of Alabama ("State") during the term of the resultant Contract/Agreement (hereinafter: Agreement). The SOW consists of the tasks, subtasks, deliverables, goods, services and other work the selected Vendor will be responsible for performing in response to the RFP. In addition to the other requirements of this SOW, Vendor **SHALL** provide the Deliverables identified in Exhibit IMP SOW 1 – Project DeliverablesExhibit IMP SOW 1 - Project

Deliverables called out explicitly in this SOW.

The mandatory requirements in this SOW are denoted by the word "SHALL" that will always be bold 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 biometric 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

ALEA desires to procure via an open and competitive solicitation an ABIS solution (Solution) to ensure that the State is getting the best value for the required Work, which includes replacing its existing Automated Biometric Identification System (ABIS).

This will be a Vendor managed Solution, which **SHALL** include all hardware and software including maintenance releases. Vendor **SHALL** supply all levels of technical support set forth in the Vendor 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 Vendor under the Agreement consists of two phases: System Implementation and System Operations, 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 18 to 24 months from contract signing.

This Statement 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 Vendor and State. Unless otherwise specified as an obligation of the State, Vendor **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 Vendor to provide a successful Deliverable.

Vendor **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 ABIS Requirements set forth in Attachment C (ABIS Specifications) of the RFP. All of System Requirements, whether specifically referenced or not in this SOW, **SHALL** apply to Vendor's deliverables under the resultant Agreement.

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

●   Exhibit IMP SOW 1 – Project Deliverables

1.2 PROJECT DELIVERABLES

1.2.1 SCOPE OF WORK

The objective of the RFP is to select a Vendor who will be able to provide, implement and support for

the State an ABIS with the following goals:

- Provide biometric and web service standards based on open architecture that:
  » Enables implementation of state-of-the-art ABIS (e.g. 10 print, palm print, latent) applications and workflows including integration with the current LiveScan fingerprint and mug shot systems
  » Enables the incremental enhancement/addition/replacement of applications and workflows for friction ridge (finger, palm, latent), and facial data capture, iris, voice, scar, marks and tattoos, facial recognition and DNA biometric toolsets
  » Allows selection of best-of-breed applications from different vendors; provides for use of non-proprietary hardware, database software and open-standards application software interfaces
  » Stores integrated subject biometric data (captured via the various biometric toolsets) that enable online inquiries and reporting based on integrated subject biometric data
- Be sized for planned growth
- Utilize ANSI/NIST/FBI record constructs
- Conform to national and international biometric standards
- Use Commercial Off-The-Shelf (COTS) hardware and software
- Provide configurable administrative controls
- Manage the orchestration and transaction integrity of all sub-components of the ABIS Solution
- Manage and control biometric data using subject biometric identifiers as keys
- Provide efficient and cost-effective storage and retrieval
- Detect and notify when systems, applications, equipment or networks are interrupted or when there is a loss of power
- Provide an operational State-approved disaster recovery site or option
- Provide for migration of fingerprints (known and latent) and mug shots from already existing State systems, wherein no State resources will be available for this effort.
- Provide management of the necessary network between the vendor data centers and the ALEA point of presence (Current AL AFIS Environment and Workflows).
- 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. State recognizes that some of the compliance documents and their associated data items listed below 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, Vendor **SHALL** perform all of the following, in the order as listed:

1. Identify existing standards and data items to be replaced;

2. Identify new documents and associated data items proposed for use;

3. Provide a rationale for using the new items including cost, schedule, performance and supportability impact; and

4. Obtain 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 ABIS:

● ABIS Specifications, including those identified in Attachment C (ABIS Specifications) to the RFP

● American National Standards Institute/National Institute of Standards and Technology (ANSI/NIST), ANSI/NIST-ITL 1-2011, Data Format for the Interchange of Fingerprint, Facial, and other Biometric Information, Update: 2015

● Alabama Law Enforcement Agency Electronic Fingerprint Submission Specification, August 2015.

• Electronic Biometric Transmission Specification (EBTS) with Technical and Operational Updates (TOUs) NGI-DOC-01862-1.2, Version 10.0.9 dated May 22, 2018

• FBI CJIS CJISD-ITS-DEL-08140-5.8, CJIS Security Policy, Version 5.8, dated June 2019

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 Vendor throughout the System implementation phase ("System Implementation Phase" or "Phase 1") of the Agreement, including ABIS 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 Vendor during the System Implementation phase of the Agreement. Vendor **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 [DEL-03] and **SHALL** maintain such plans current as necessary throughout the System Implementation phase.

SUBTASK 1.1 – DEVELOP PROJECT PLANS

Vendor **SHALL** review the System Requirements with State's Project Manager. Based upon that review, Vendor **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 Vendor during the preparation of the Project Management Plan. State reserves

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 18 to 24 months from contract signing.

Additionally, Vendor **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, COOP Site and Remote Sites). 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 Vendor Deliverable items.

DELIVERABLE 1.1 – PROJECT PLANS

Vendor **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 Vendor Key Personnel and Vendor Key Staff; including 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. Project staffing and resource management plan; including the number of years of experience by role for each member of the team along with complete resumes.

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.

Vendor **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).

Vendor **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 Vendor 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	Vendor's Facility
Pre-Ship Review	Vendor'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

Vendor **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;

3. Attending meetings with State Executives and Management as needed; and

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

Vendor's Project Manager **SHALL** provide full project management and control of project activities. Vendor's Project Manager **SHALL** present to State's Project Manager written status reports documenting project progress, plans and outstanding issues. Vendor'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 Vendor, 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. Vendor staffing and personnel matters, including management of Vendor 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.

Vendor'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 Vendor's Project Manager pursuant to this Subtask 1.2 – Prepare Status Reports and Conduct Conferences **SHALL** be used as the mechanism for Vendor to report any project risks or problems identified as part of the implementation process.

DELIVERABLE 1.2 – COMPLETE STATUS REPORTS AND CONFERENCES

Vendor'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. Vendor's Project Manager **SHALL** meet with or conduct a status update conference with State's Project Manager, as agreed to by State and Vendor, 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 in a format approved by State.

Task 2 – System Setup

The Subtasks below in this

Task 2 – System Setup provide for the setup and security of the future ABIS environment.

SUBTASK 2.1 – PROVIDE DATA AND PROPERTY MANAGEMENT

Vendor **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 Vendor under the Agreement, procured by Vendor under the Agreement and received from State for use on the Agreement.

DELIVERABLE 2.1 – DATA AND PROPERTY MANAGEMENT

Vendor **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

Vendor **SHALL** implement a security program in compliance with the CJIS Security Policy referenced in 1.3.2 – Specifications, Standards and Guides above. All Vendor supplied facilities or systems **SHALL** provide protection and control of all State information, equipment, documentation and network access.

DELIVERABLE 2.2 – SECURED SYSTEM ENVIRONMENT

Vendor **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

Vendor **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 Vendor **SHALL** comply with the System Requirements and the standards and guides set forth in 1.3.2 – Specifications, Standards and Guides.

Vendor **SHALL** provide all equipment and software necessary to satisfy the System Requirements at the proposed State operational Primary Site and the proposed COOP Disaster Recovery site ("COOP Site"). Vendor **SHALL** provide all necessary equipment and software at Remote Sites 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.

Vendor **SHALL** provide State with a comprehensive set of user, system and management documentation. Vendor **SHALL** deliver those items identified in the list of Deliverables set forth in Exhibit IMP SOW 1 – **PROJECT DELIVERABLES** to this Attachment A. Vendor **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

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

Vendor **SHALL** analyze State's System Requirements and validate the requirements of the specifications. Vendor **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).

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

Vendor **SHALL** provide to State a baselined System Requirements Specifications and label it [DEL-02] and the rationale for any recommended changes. Vendor **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

Vendor **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

Vendor **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. Vendor **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.

Vendor **SHALL**, to the maximum extent possible, use non-proprietary hardware and software in developing and implementing the ABIS. To the maximum extent possible, equipment for Remote Sites recommended by Vendor must be available commercially from third-party vendors as well as through Vendor, subject to installation of ABIS Software, which **SHALL** be controlled by provider alone.

Vendor **SHALL** conduct a System Design Review ("SDR") and present to State for approval. The System Design Review [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, Vendor **SHALL** present evidence (e.g., results of analyses, computer model and simulation results, benchmark results and vendor-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. Vendor **SHALL** deliver a Requirements Verification and 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 Vendor's response to the System Requirements Specifications set forth in Attachment C (System Requirements Specifications and Response forms) to the RFP.

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

DELIVERABLE 3.2 – SYSTEM DESIGN AND DEVELOPMENT

Vendor **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 ABIS 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 ABIS testing area, there is a need for a common vocabulary. The purpose of testing will be to verify that Vendor's product meets or exceeds all System Requirements Specifications [DEL-02].

Vendor **SHALL** develop and execute a comprehensive test program, spanning all phases of development and all levels of assembly of the system(s). Vendor **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 Livescan equipment with the new ABIS, 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 Livescan and ABIS components are successfully tested together.

For unmodified COTS hardware and software, COTS vendor-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 Vendor's facility, Vendor will be given permission to ship the System to the Operational Site(s).

The converted biometric database (known and unknown friction ridge files as well as related feature sets, pointers, and tables) will be audited as part of the primary site configuration FAT. Accuracy tests will employ these repositories, while the search records will be data sets prepared by State and having known image quality (tenprint only), minutiae counts (latents and their mates only) and mate or no-mate status information.

SUBTASK 4.1 – CONDUCT FACTORY ACCEPTANCE TEST

Vendor **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.

Vendor **SHALL** prepare a FAT Plan [DEL-28] and FAT Procedures [DEL-21] and submit them for approval. Vendor will prepare the FAT Plan in cooperation with State. The Vendor **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. Vendor **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]. Vendor **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

Vendor **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 (such as operations using a Remote Site's network);
- 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, including Remote Site testing, is at least as functional as the sum of the individual parts and to verify that end-to-end work flows execute as anticipated – the actual verification of the correctness of the end-to-end work flows, 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.

Vendor will prepare the SAT Plan in cooperation with State. Vendor **SHALL** prepare SAT Procedures [DEL-21] and submit them for State approval. Vendor **SHALL** conduct the SAT in accordance with State

approved SAT Plan and approved SAT Procedures [DEL-21]. Vendor **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.

Vendor **SHALL** document the results of the SAT in the SAT Report(s) [DEL-06]. Upon completion of the SAT, Vendor **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

Vendor **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 Plan
- 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 workflows 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 Vendor 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.

Vendor **SHALL** prepare a UAT Plan. The UAT Plan will be reviewed and approved by State. State staff will conduct UAT. Vendor **SHALL** provide the facilities, equipment and personnel to support the services identified in Phase 2 of this ABIS SOW during UAT. Vendor **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 Vendor delivered ABIS system(s), to resolve those discrepancies and, when those discrepancies result because of a failure of Vendor-delivered system(s), to meet the requirements, and to perform corrective maintenance.

DELIVERABLE 4.3 – USER ACCEPTANCE TESTING

Vendor **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 ABIS Operational Environment.

SUBTASK 5.1 – INSTALL SITES

Vendor **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 and any Remote Sites state or vendor sites that will house ABIS solution equipment. Vendor **SHALL** review the network configuration at each Remote Site to ensure that the equipment to be installed is compatible with existing network topologies and security. Vendor **SHALL** document any incompatibilities between the ABIS 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.

Vendor **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].

Vendor **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, COOP Site and Remote Sites. Vendor **SHALL** prepare Installation Drawings [DEL-18] to define equipment layout and cabling.

Vendor **SHALL** (subject to State approval) deliver and install the equipment and software deliveries at the Primary Site, COOP Site and Remote Sites. Vendor **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

Vendor **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

Vendor **SHALL** ingest and process all existing electronic (as available) and hard copy tenprint, palmprint and latent records and convert (i.e., feature extract) them to the appropriate internal feature format. The latents **SHALL** be converted into the Extended Feature Set ("EFS") Profile 1 or 2 format. Of special note: there are 1.9 million records in NEC proprietary format only (and hard card) that **SHALL** be included in the data conversion effort (not to be scanned or paid by ALEA separately) to NIST format. All vendors **SHALL** affirmatively state their understanding of this note.

For electronic card images, if Type 7 and/or Type 16 data appears in the card image set, it **SHALL** be recorded as a Type 20 record and linked as appropriate to the related friction ridge records.

Vendor **SHALL** convert friction ridge images into ANSI/NIST compliant transaction files to include image files and load them onto the System at the Primary Site with all appropriate transaction-related information, all available for search and retrieval based on ANSI/NIST and CJIS EBTS record types and field definitions.

Vendor **SHALL** perform conversion feature extraction on all tenprint and palmprint records for use in the matchers. Vendor **SHALL** cross-search all transactions to determine all transactions that share unique identities, link them together as single identities and assign a State ID ("SID") to each unique identity in sync with CCH and after verification. Vendor **SHALL** use any existing State person ID codes and will retain all state identification ("SID") numbers in indexing the tenprint repository. For cases in which new matches are found, the list of candidates **SHALL** be presented to State for review. For cases in which matches are in question within a SID, a list of candidates within the SID will be presented to the State for review.

Regarding the nature of the data to be loaded into the matchers, the Contractor **SHALL** suggest and make their detailed recommendation justification as to the best approach with regard to the nature of records in the matching database, specifically as to either:

- Keep all, search records in the matchers; or,
- Create a composite record and keep some configurable number (at least 3 instances) of most recent submissions; or,
- Some other contemporary and justifiable approach.

Specifically, for the second approach (composite plus most recent events), for cases in which three or more transactions are present at a state level for a subject, Vendor **SHALL** use the NIST Fingerprint Image Quality ("NFIQ") software to quality-rate each finger image. Based on image quality scores, Vendor **SHALL** develop a "best image set" as a composite record for each of these identities at the state level. Vendor **SHALL** load feature sets for minimally three (or other state-agreed to number) transactions for each identity, the composite and the two (to be determined) most recent transactions, at the state level. The known tenprint file **SHALL** be loaded into the matchers for testing and Operational Use, with pointers to the appropriate transaction control number (TCN), and SIDs.

For cases in which multiple palm transactions are present for a subject, Vendor **SHALL** use the minimally three (or other state-agreed top number) of the highest quality palmprint transactions submitted to extract features for the matchers unless the keep all, search-all approach to database is used. After performing feature extraction on all palm records for use in the matchers, Vendor **SHALL** use any existing State person ID codes and will retain all state SID numbers in indexing the palmprint repository at the state level. The known palm file **SHALL** be loaded into the matchers for testing and Operational Use, with pointers to the appropriate TCN, and SID.

Vendor **SHALL** ingest all unsolved latent images and generate feature sets, either by auto-extracting them or by converting the corresponding existing feature sets to the EFS format. The preference is the use of the already encoded feature sets as the basis of re-encoding into the EFS format. The unsolved latent file **SHALL** be loaded into the matchers for testing and Operational Use, with pointers to the appropriate latent case numbers and related information loaded into the latent case management system.

Vendor **SHALL** preserve agency feature encoding in the current unsolved latent database (ULD) through use of NIST Type 9 records that have already been saved by State staff to the current ULD to facilitate conversion to Vendor's feature set. If NIST Type 9 records are not achievable, Vendor's auto-feature function may be conditionally acceptable on the provided latent images, subject to State approval.

DELIVERABLE 5.2.1 – CONVERTED EXISTING DATA

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

- Copies of converted Existing Data.

SUBTASK 5.2.2 – LOAD DATA

Vendor **SHALL** load all of the images and extracted features into the appropriate databases onto the System at the Primary Site and the COOP Site with the appropriate TCN, and SID or latent print identifying information.

Vendor **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, Vendor **SHALL**:

- Cross-search all loaded tenprint records and provide a digital report of all possible unanticipated matches for use in consolidating records;
- Search all loaded tenprint records against the loaded latent records and provide a digital report of all possible matches for use in identifying a known person associated with a latent record;
- Cross-search all loaded tenprint records and provide a digital report of all possible non-identifications being listed under the same SID.
- Search all loaded latent records against the loaded latent (finger & palm) records and provide a digital report of all possible matches for use in identifying links between latent records.

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

- The number of records converted, to include a count of modalities (fingers, palms, and Type 10 images) of the converted records.
- Any problems encountered, by record number (i.e., any conversion assigned number), TCN, problem type, and resolution.
- All records not successfully converted by record number and TCN, if available.

- Records that were identified as being from the same subject (i.e., multiple enrollments) sorted by TCN.

- Records that are forward or reverse searched and that are strong candidates for identifying latent impression sources, sorted by agency.

- Latent records that are searched against other latent records and that are strong candidates for identifying latent impression links, sorted by agency.

- Average image quality for known tenprint by enrollment type, hand and finger position, by agency, using the NFIQ tool, and optionally the vendor's tool.

- The results of a conversion audit.

DELIVERABLE 5.2.2 – LOADED DATA

Vendor **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

Vendor **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 Automated Fingerprint Identification System ("ABIS") to the replacement ABIS environment provided under the Agreement. The plan will identify the sources (i.e., Vendor, State or specific State Remote Sites) of all resources and specify when those resources will be required, bearing in mind that ALEA does not have the resources available for the purposes of scanning cards or microfiche records for data migration or conversion.

Vendor **SHALL** assist the State Remote Sites in planning their migration from the legacy ABIS system to the replacement ABIS provided hereunder.

DELIVERABLE 5.3 – MIGRATION PLAN

Vendor **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

Vendor **SHALL** develop User Manuals [DEL-11] addressing all user functions for all user types (e.g., tenprint and latent examiners, 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 ABIS 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

Vendor **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.

Vendor **SHALL** conduct four (4) types of courses as follows:

- Tenprint Workstation Baseline – This course will cover all ABIS tenprint functionality associated with the new ABIS. The course will provide hands-on instruction on the tenprint workstation for manual and automated tenprint processing. "Hands-on" requires that each student have access to a fully functional workstation and training database during the training sessions. This requirement applies to both the Tenprint Workstation Baseline training and the Latent Workstation Baseline training described below. The course will cover tenprint manual and automated workflows, displays, data entry, quality assessment and all functionality. In addition, the course will cover the basic and administrative user functions of the NIST archive. This course will also include the method by which NIST standard fingerprint transactions can be run against non-State agency ABISs. This course will also cover palmprint and slap print entry and quality assessment functions. This course will need to be conducted enough times initially to accommodate approximately 25 examiners, with no more than 5 per running.

- Latent Workstation Baseline – This course will cover all ABIS latent functionality associated with the new ABIS. The course will provide hands-on instruction on the latent workstation and latent case management system. The course will cover latent manual workflows, displays, data entry, quality assessment and all functionality. In addition, the course will cover the basic user functions of the NIST archive. This course includes the method by which NIST standard latent transactions can be run against non-State member agency ABISs. The course will include instruction in best practices for ensuring optimum accuracy. This course will also cover latent palmprint and slap print entry, quality assessment and matching functions. This course will need to be conducted enough times initially to accommodate approximately 60 examiners, with no more than 5 per running.

- ALEA Staff – This course will provide an overall view of technical aspects of the ABIS and provide methods to manage and resolve minor incidents quickly and effectively. This course will need to accommodate all ALEA participants initially and will need to be conducted, at least once yearly, for the duration of the Agreement, for approximately 4 participants, to accommodate new personnel and keep existing staff current.

- ALEA Administration, Managers and Supervisors – This course will cover ABIS 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 Remote 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

State ABIS devices are geographically dispersed over a large area. This dispersion poses unique problems related to problem reporting; test, diagnosis and deployment of patches and revisions; and other aspects of configuration management. A Configuration Management Plan [DEL-29] and processes **SHALL** address these unique problems efficiently and effectively.

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

- Establish a controlled configuration for each hardware and software component at the Primary Site, the COOP Site and each Remote 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.

Vendor **SHALL** generate management records and status reports on all products composing the controlled configuration for each hardware and software component at the Primary Site, the COOP Site and each Remote 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.

Vendor **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 ABIS becomes operational.

DELIVERABLE 7.1 – SYSTEM CONFIGURATION PLAN

Vendor **SHALL** provide in accordance with Deliverable 7.1 – 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

Vendor **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 Vendor'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 ABIS 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 Vendor under this Agreement **SHALL** be:

- Maintained as an active-active site;

- Capable of providing 100 percent of the ABIS 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 Vendor **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 Vendor to provide vital services, under any and all circumstances.

DELIVERABLE 7.2 – COOP PLAN

Vendor **SHALL** provide in accordance with Subtask 7.2 – 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 Vendor 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, Vendor **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 Operations Phase of the project, Vendor **SHALL** provide State and its Remote Sites with a comprehensive set of user, system, training and management documentation. Vendor **SHALL** supply documentation in both electronic and hard-copy formats. User documentation **SHALL** describe the components, functions and operations of each workstation type. Each ABIS workstation **SHALL** be provided with online user documentation that is resident on the workstation or accessible via the agency's internal networks.

In addition, Vendor **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 Requirements 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	Five (5) Business Days 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.

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.

DOCUMENT NO.	DELIVERABLE/PLAN TITLE	DELIVERY DATES
DEL-20	*Reserved-unused.*	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.

DOCUMENT NO.	DELIVERABLE/PLAN TITLE	DELIVERY DATES
DEL-32	Data and Property Management Plan	Vendor **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	Vendor **SHALL** develop a Service Level Plan ("SLP") that will govern the ABIS and Vendor's performance during the System Operations Phase of the project, as outlined in the Operations SOW, which **SHALL** include all Service Level Requirements set forth by the vendor 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 – ABIS Operations SOW

Vendors **SHALL** read all sections of this attachment and **SHALL** prepare their response to this ABIS Operations SOW for inclusion with their proposal regarding the ALEA ABIS RFP, for their proposed system solution. Vendor's response will be incorporated into the final contract.

Section 1 – ABIS Operations SOW Response Instructions

The Vendor **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 Vendor **SHALL** describe the services to be provided, the level of service, assumptions, risks, applicable standards, deliverables, and deliverable content. The Vendor **SHALL** address, at a minimum, the following areas:

Matching. The Vendor **SHALL** describe its approach to providing the matching services required in the ABIS OPS SOW. The Vendor **SHALL** describe the matching services to be provided, the capacities and response times to be supported (average and peak hour), accuracies of services, and any assumptions, risks, or constraints. The Vendor **SHALL** address the required services and any additional services the Vendor proposes to provide.

System Interfaces. The Vendor **SHALL** describe its approach to satisfying the interface requirements of the ABIS OPS SOW. The Vendor **SHALL** identify interfaces with criminal 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 Vendor **SHALL** describe its approach to satisfying the repository management requirements of the ABIS OPS SOW. The Vendor **SHALL** describe the procedures for maintaining the repository and for ensuring the integrity, confidentiality, and accessibility of the contents.

Report Generation. The Vendor **SHALL** describe its approach to satisfying the report generation requirements of the ABIS OPS SOW. The Vendor **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 Vendor **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 ABIS management to generate ad hoc reports will be identified and discussed.

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

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

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

plans of the Latent and ABIS Unit Managers for future hires. This way it is modifiable and be applicable to changes in practice for both divisions.

The Vendor **SHALL** identify the risks inherent in the training approach and discuss its mitigation strategies.

Program Organization. The Vendor **SHALL** describe its approach to satisfying the program organization requirements of the ABIS OPS SOW. The Vendor **SHALL** describe the proposed PMO. The Vendor **SHALL** discuss how the proposed PMO (including subcontractors and vendors) is organized (an organizational chart should be included); how it fits into the Vendor'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 Vendor **SHALL** identify and discuss the principal interfaces and reporting mechanisms internal to and external to the PMO as well as elements of the Vendor's support organization.

Management and Technical Reporting and Reviews. The Vendor **SHALL** describe its approach to satisfying the management and technical reporting and review requirements of the ABIS OPS SOW. The Vendor **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 Vendor **SHALL** describe its approach to satisfying the technology refresh and enhancement requirements of the ABIS OPS SOW. The Vendor **SHALL** describe its approach for maintaining an awareness of the state of the art in biometrics and other relevant technologies and for identifying and evaluating new commercial software products and product upgrades for insertion into the ABIS baseline. The Vendor **SHALL** describe its approach to planning and executing the introduction of new standards, products, and product upgrades into the ABIS baseline.

Facilities. The Vendor **SHALL** describe its approach to satisfying the facilities requirements of the ABIS OPS SOW.

Personnel. The Vendor **SHALL** describe its approach to satisfying the personnel requirements of the ABIS OPS SOW.

Security. The Vendor **SHALL** describe its approach to satisfying the security requirements of the ABIS OPS SOW.

Maintenance Services. The Vendor **SHALL** describe its approach to satisfying the maintenance requirements of the ABIS OPS SOW. The Vendor **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 Vendor **SHALL** describe plans for remote site maintenance, including response times for on-site maintenance. The Vendor **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 Vendor **SHALL** describe its approach to satisfying the configuration management requirements of the ABIS OPS SOW.

Continuity of Operations. The Vendor **SHALL** describe its approach to satisfying the COOP requirements of the ABIS OPS SOW.

Section 2 – ABIS Operations Statement of Work

This section of Attachment B provides the Operations Statement of Work expected for the ABIS 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   System Operation

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 Vendor throughout the operational and support phase ("System Operations Phase" or "Phase 2") of the Agreement as part of the Service Level Requirements. Vendor **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 System Operation of the SOW, including this 1.1 – Scope of Services.

1.1 – Scope of Services

Vendor **SHALL** provide for State's Primary Site, COOP Site and Remote Sites a suite of Services that will satisfy the Service Level Requirements based on the SLP developed by Vendor. Vendor **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, COOP Site and Remote Sites.

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

1.1.1 – MATCHING

Vendor **SHALL** supply friction ridge matching (known and unknown finger and palm friction ridges) when transactions are submitted using ANSI/NIST compliant transactions that conform to EBTS.

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

● DEL-33: Service Level Plan.

1.1.2 – NATIONAL AND INTERNATIONAL INTERFACES

Vendor **SHALL** maintain Interfaces with state and national services through the Wide Area Network (WAN) using FBI EBTS conformant transactions and international transactions via the CJIS gateway. Additionally, outside criminal justice agencies will be able to connect through the ABIS to run searches directly to NGI.

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

● DEL-33: Service Level Plan.

1.1.3 – STATE SYSTEM INTERFACES

Vendor **SHALL** maintain Interfaces with all requisite data repositories and systems and with networks that in turn connect to booking stations and other criminal justice systems using the FBI EBTS. 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 AFIS Environment and Workflows).

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

● DEL-33: Service Level Plan.

1.1.4 – REPOSITORY MANAGEMENT

Vendor **SHALL** maintain access to a well-maintained and indexed repository of all enrolled transactions, stored and retrievable in FBI EBTS formats. The ability to update, delete, retrieve and print appropriate card formats and other forms or link enrolled transactions, **SHALL** be provided.

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

● DEL-33: Service Level Plan.

1.1.5 – REPORT GENERATION

Vendor **SHALL** maintain access to State staff, the Remote Site administrators, 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.

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

• DEL-33: Service Level Plan.

1.2 – Support Services

During the System Operations Phase of the Agreement, as part of System Maintenance, Vendor **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

Vendor'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.

Vendor **SHALL** backup (data and system configurations) daily for COOP considerations. Copies of the backup tapes **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.

Vendor **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 EBTS interface specifications and that no service is running on a suite of software no longer supported by the licensing Vendor.

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

Vendor **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, Vendor **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 Vendor's web-based trouble ticketing system. In the event that the Vendor'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, Vendor'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 Vendor'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 Vendor'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.

- Vendor **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.

- Vendor **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.

- Vendor **SHALL** respond within the period specified in 1.5.2 – Deficiency Priority Levels depending on the Priority Level of the Deficiency.

- Vendor's Customer Support **SHALL** be made available to State on a 24/7/365 basis.

- Vendor'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

Vendor **SHALL** ensure that, during the term of the Agreement, the ABIS **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.

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

- DEL-33: Service Level Plan.

1.2.4 – TRAINING

Vendor, 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 Vendor responsibilities [DEL-17] of the System Implementation Phase of this SOW.

Vendor **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 Vendor throughout the System Operations Phase of the Agreement.

Vendor **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 Operations Phase of the Agreement.

1.3.1 – PROGRAM ORGANIZATION

Vendor **SHALL** establish a formal Vendor Program Management Office ("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.

Vendor **SHALL** appoint a Vendor'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 Vendor's technical, cost and schedule performance. The PPM **SHALL** have full authority over all Vendor program activities and resources. The PPM **SHALL** be the principal interface between the program and Vendor's corporate organization, between the program and its associated contractors, and between Vendor 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.

Vendor **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

Vendor **SHALL** conduct management and technical reviews and provide management and technical reports throughout the System Operations Phase of the Agreement. Vendor 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. Vendor **SHALL** log all transaction and system activity necessary to evaluate Agreement performance, facilitate trend analysis and support system and other transactional analysis [DEL-31]. Vendor **SHALL** supply appropriate quality assurance and audits to ensure that logs are complete and accurate.

Vendor **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 Vendor operations and operations support personnel, discuss plans, examine the status of any risks or issues and address any other issues that State and/or Vendor may wish to discuss.

State and Vendor **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 Vendor and subcontractor's personnel, as determined by State and Vendor management. The objectives of the weekly 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.

Vendor **SHALL** conduct semi-annual Operational Program Management Reviews ("OPMR(s)"). Attendees at the OPMRs will include State and its staff and Vendor 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 Vendor's location, any costs to the state associated with travel will have to be incurred as expenses to the contractor, and Vendor **SHALL** furnish facilities both for conducting the OPMR and for State-only meetings and side meetings. Vendor **SHALL** make available the key personnel necessary to carry out an efficient and effective agenda and **SHALL** provide presentation materials and supporting data. Vendor **SHALL** furnish agendas, presentation materials and minutes. Vendor **SHALL** attend and participate in required meetings as necessary.

Vendor **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

Vendor **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. Vendor's personnel **SHALL** be subject to the security provisions outlined in 1.3.4 – System Security below.

Vendor **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

Vendor **SHALL** take reasonable security precautions approved by State, by providing among others the necessary Software Updates, to ensure the ABIS, 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. Vendor **SHALL** take reasonable security precautions as approved by State to ensure State's Primary Site and COOP Site physical security.

Vendor **SHALL** comply with all provisions of the FBI CJIS Security Policy as specified in 1.3.2 – Specifications, Standards and Guides as cited in the Implementation SOW.

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

Vendor **SHALL** *NOT* utilize, or provide to third parties, State's database without prior written approval of State.

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

Vendor **SHALL** afford State the opportunity to interview and investigate the personnel proposed by Vendor prior to granting them security access to State systems and sites, and State reserves the right to reject their access to ABIS equipment, files or site locations whenever Vendor 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.

Vendor **SHALL** work with State, and Remote Site agencies to achieve end-to-end security for all components that make up the ABIS. Vendor **SHALL** document its security program in an In-Plant Security Plan [DEL-10].

Vendor **SHALL** also give verbal notification to the State immediately, and then in writing within four (4) hours of Vendor'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.

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

Vendor **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 Operations Phase of the Agreement, as part of System Maintenance, Vendor **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.

Vendor **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, Vendor **SHALL** propose functional and processing requirements for, and implement, future upgrades. Vendor **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 Vendor is performing other duties as agreed to by State and Vendor under the Agreement.

Vendor 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 ABIS, both from Vendor and third parties, and reviewing pending and implemented changes in NIST, EBTS and other standards applicable to State or its Remote Sites. As may be required from time to time, Vendor 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 Vendor.

As part of Maintenance Services, Vendor **SHALL** provide one (1) hardware 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, Vendor **SHALL** submit for State approval technology refreshment specifications, which **SHALL** incorporate technological upgrades that are necessary to maintain ABIS 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 or Department of Homeland Security. Vendor **SHALL** furnish agendas, presentation materials, minutes and technical reports.

Vendor **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

Vendor **SHALL** provide Software Updates to the Software to keep current with Vendor's hosting technology standards, industry standards, Third Party Software upgrades, enhancements, updates, patches, bug fixes, etc., the System Requirements and as provided to Vendor'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 Vendor under this Agreement. Prior to the installation of any third-party Software, or any update thereto, Vendor **SHALL** test and ensure such third-party Software's compatibility with the then current version of the Software. Vendor **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 Vendor 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, Vendor.

1.4.3 – SYSTEM ENVIRONMENT

As part of Maintenance Services, Vendor **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. Vendor **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 Vendor under the Agreement.

Vendor **SHALL** provide Software Updates to the Server Software to keep current with Vendor'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, Vendor **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. Vendor **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 Vendor under the Agreement.

Furthermore, Vendor **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, Vendor **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 Vendor, Vendor **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, Vendor 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 Vendor **SHALL** agree on Scheduled Downtime as part of IMS.

Vendor will perform a documented Preventive Maintenance procedure for all equipment and software they provide. Vendor **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. Vendor **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.

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

● DEL-33: Service Level Plan.

1.4.5 – RESPONSE TIME MONITORING

Vendor **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.

Vendor **SHALL** perform Response Time monitoring at regular intervals and in sufficient detail to detect problems. Vendor **SHALL** provide State with direct access at any time to the data collected as a result Response Time monitoring. Whenever requested by State, Vendor **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 Operations Phase of the Agreement, as part of System Maintenance, Vendor **SHALL** correct the Deficiencies in the System, as further provided in this 1.5 – Correction of Deficiencies below.

Vendor **SHALL** provide corrective maintenance for any Deficiency in Vendor 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.

Vendor **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.

Vendor **SHALL** offer one central point of contact for support of hardware and software. Vendor support personnel **SHALL** address all problems reported by State. Vendor'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 Vendor's use of its own monitoring system or discovered by State. Upon discovery of a Deficiency by State, State will report the Deficiency to Vendor'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 Vendor'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 Vendor's Customer Support. Vendor **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, Vendor **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 Vendor of a Deficiency by telephone or otherwise as specified herein, including Vendor'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
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 Vendor

1.5.3 – PROBLEM RESOLUTION AND PROTOCOLS

Vendor **SHALL** assign Priority Levels to Deficiencies discovered by its own problem monitoring system. Following report of a Deficiency from State, Vendor **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 Vendor of a Deficiency by telephone or otherwise as specified herein, including Vendor's Customer Support, and **SHALL** end when State determines that the Deficiency has been resolved.

Problems that require an immediate response (Priority Level 1) are system or component failures that prevent subjects from being enrolled, images from being searched or responses from being delivered. This includes all equipment supplied by Vendor associated with the System, including Remote Site printers, scanners and other required peripherals that would prevent users from accomplishing their work.

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

Vendor must ensure that the equipment, especially for the remote sites (tenprint and latent devices) will be repaired/replaced within eight (8) consecutive hours. If a device is out of service for eight (8) consecutive hours from the time Vendor was notified, Vendor **SHALL**, by the end of the eighth hour, replace or be in the process of replacing/repairing the defective equipment with an operable device until the defective item has been fully repaired. The eight (8) hour clock begins from the time of personal notification to Vendor.

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

Vendor **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 Vendor has identified and resolved.

Vendor **SHALL** provide the following Deliverable(s) for this component of the SOW:

● DEL-33: Service Level Plan.

1.6 – Configuration Management

State's Remote Sites are geographically dispersed over a large area. This dispersion poses unique problems related to problem reporting, testing, diagnosis, deployment of patches and revisions and other aspects of configuration management. Configuration management plans and processes must address these unique problems efficiently and effectively.

Vendor **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 Vendor **SHALL** accomplish the following:

● Establish a controlled configuration for each operational hardware and software component at the Primary Site, the COOP Site and each Remote 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.

Vendor **SHALL** generate management records and status reports for all hardware and software products at the Primary Site, the COOP Site and each Remote 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.

Vendor **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 ABIS becomes operational.

Vendor **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.

Vendor **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, Vendor **SHALL** also be responsible for the provision of COOP Services in accordance with the COOP Plan provided by Vendor in accordance with Subtask 7.2 – Continuity of Operations Planning of the Implementation SOW.

Vendor or State may declare an event a Disaster. As part of COOP Services, Vendor **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 that ensures the performance of Vendor's essential functions during any emergency or situation that may disrupt normal operations and leave Vendor facilities damaged or inaccessible. Vendor **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:

- Vendor **SHALL** have complete responsibility for restoration of the Solution.

- In the event of a Disaster declaration, Vendor **SHALL** be required to maintain regular and consistent communication with State about the event/condition and steps taken to restore the Solution.

- Vendor **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 the

remaining site without COOP until the event has ended and the full system has been restored. Vendor **SHALL** also indicate its plan for the restoration of full COOP operations after the declaration of the event.

- Vendor **SHALL** ensure the System Data to a point no greater than Thirty (30) minutes prior to the declaration of the Disaster by State or Vendor.

- 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 Vendor.

- Vendor **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 Vendor.

- Vendor'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.

Vendor **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 Vendor'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 Vendor, 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. 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 Vendor.

2.3 – System Response Time Deficiencies

A Response Time Deficiency that fits 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 Vendor, entitling State to assess Service Credits.

Exhibit OPS SOW 1 – Project Deliverables

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

In addition, Vendor **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 Requirements 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	Five (5) Business Days prior to a meeting.

Document No.	Deliverable/Plan Title	Delivery Dates
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.
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.

DOCUMENT NO.	DELIVERABLE/PLAN TITLE	DELIVERY DATES
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.
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.

DOCUMENT NO.	DELIVERABLE/PLAN TITLE	DELIVERY DATES
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.
DEL-32	Data and Property Management Plan	Vendor **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	Vendor **SHALL** develop a Service Level Plan ("SLP") that will govern the ABIS and Vendor's performance during the System Operations Phase of the project, as outlined in System Operation of the SOW, which **SHALL** include all Service Level Requirements set forth in vendor'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 – ABIS Specifications

Requirements Framework

This section introduces the recommended framework in which requirements for the future ALEA ABIS 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 ABIS 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 ABIS 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 ABIS 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 ABIS solution that is installed and operational in other states and can be demonstrated to the ALEA. *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.*
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 ABIS 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 *each requirement ID*, so marked, in the same order as in the specifications tables.	For each requirement ID listed, vendors must provide a *detailed explanation* of how the specification is met.
Future Release	
List *each requirement ID*, so marked, in the same order as in the specification's tables.	For each requirement ID listed, vendors must provide a *detailed explanation* of when and how the specification will be met within 1 year of installation.
Custom Development	
List *each requirement ID*, so marked, in the same order as in the specification's tables.	For each requirement ID listed, vendors must provide a *detailed explanation* 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 *each requirement ID*, so marked, in the same order as in the specification's tables.	For each requirement ID listed, vendors must provide a *detailed explanation* 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 functional requirements for the future ALEA ABIS system environment. These baseline requirements are broken down into each of the typical functional areas of biometric identification, including Tenprint, National Institute of Standards and Technology (NIST) Image Upgrade, NIST Image Retrieval, Tenprint to Latent Inquiry, Latent Inquiry, Latent Case Management, and Rapid/Mobile-ID.

Tenprint Requirements

Tenprint identification service input, processing, and output requirements are included in the table below:

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
TPI-1	For paper forms (cards) submitted, the ABIS **SHALL** provide the user with the capability to scan the image portions of inked fingerprint and palmprint cards at 1,000 pixels per inch (ppi) using FBI-certified Appendix F scanner systems and assign a unique transaction control number (TCN), pursuant to the EBTS.				
TPI-2	For paper forms (cards) submitted, the ABIS **SHALL** support the scanning of the entire front and back of the cards at 250 or 300 ppi as Type 20 records and link the image(s) with the friction ridge image entry per ID Input 1.				
TPI-3	For paper forms (cards) submitted, the ABIS **SHALL** provide the user with the capability of entering card field text, pursuant to the EBTS, and linking the text fields (Types 1 and 2) with the appropriate scanned images per ID Input 1 and 2.				
TPI-4	For paper forms (cards) submitted, after scanning and text entry are complete [ID Input 1 through ID Input 3], the ABIS **SHALL** automatically create a complete EBTS Transaction with the Record Types 1, 2, 14, 15, and 20, as appropriate, using an appropriate type of transaction (TOT).				
TPI-5	The ABIS **SHALL** be able to ingest EBTS transactions and parse them for compliance with the EBTS to include checking for duplicate TCNs.				
TPI-6	The ABIS **SHALL** be able to quality check (i.e., fingerprint quality via NIST Fingerprint Image Quality [NFIQ], sequence, and presence of spurious fingers) the friction ridge images of ingested and created EBTS transactions against adjustable quality thresholds (NFIQ threshold and non-recoverable sequence errors).				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TPI-7	The ABIS **SHALL** forward the transactions that fail the automated quality checks [TPI-6] to appropriate examiner work queues for examiner-assisted quality check (QC).				
TPI-8	The ABIS **SHALL** permit examiners to selectively pick a transaction from the QC queue and present the selected transaction's images within 4 seconds of the selection.				
TPI-9	The ABIS **SHALL** provide support to examiners in performing QC activities (adjust sequence, correct or establish the pattern, center images, to include rejecting a transaction) and responding to the livescan station when finished.				
TPI-10	The ABIS **SHALL** log the NFIQ score for each rolled finger in a retrievable format to include finger number, and all Type 1 field data, independent of the transaction passing or failing the automated QC [TPI-6].				
TPI-11	The ABIS **SHALL** be able to respond to the noncompliant or unacceptable image quality transactions via an EBTS Tenprint Transaction Error [ERRT].				
TPI-12	The ABIS **SHALL** be able to forward the acceptable transactions to the local criminal records repository to solicit any name-based candidates via an EBTS transaction.				
TPI-13	The ABIS **SHALL** be able to ingest EBTS responses from the criminal records repository.				
TPI-14	The ABIS **SHALL** update the original ingested transaction with information from the criminal records repository response.				
TPI-15	The ABIS **SHALL** update the log entry for each transaction with the results of each EBTS ingested.				
TPI-16	The ABIS **SHALL** store in a temporary file a copy of each EBTS forwarded for processing.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TPI-17	The ABIS **SHALL** be able to ingest EBTS transactions received from the various livescan devices and external systems (cross-jurisdictional searches).				
TPI-18	The ABIS **SHALL** parse ingested EBTS transactions from external systems checking for compliance with the EBTS to include checking for duplicate TCNs.				
TPI-19	The ABIS **SHALL** be able to respond to the noncompliant transactions via an EBTS ERRT.				
TPI-20	The ABIS **SHALL** record a copy of each ingested transaction in the American National Standards Institute (ANSI)/NIST Archive.				
TPI-21	The ABIS **SHALL** support the establishment and management of "flags" associated with EBTS transactions (for example, to "seal" a record which may also be unsealed at a later time) as appropriate. Examples: • Seals • Death • Juvenile Records • Youthful Offender • Expunged Records				
Processing					
TPP-1	The ABIS **SHALL** "feature extract" all friction ridge images and create appropriate internal Tenprint to Tenprint (TP-TP) searches of the matchers, and cascade Tenprint to Latent (TP-LT), and Known Palm to Latent (KP-LT) internal searches based on the record types (4, 14, and 15) in the transaction for all transactions.				
TPP-2	The ABIS **SHALL** automatically execute all searches created in TPP-1.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TPP-3	If the TP-TP matcher score for a name-based searched candidate is above a settable threshold (Threshold 1), then the ABIS **SHALL** automatically declare a match.				
TPP-4	If the TP-TP matcher score for a technical search candidate is above a settable threshold (Threshold 2), then the ABIS **SHALL** automatically declare a match.				
TPP-5	If the matcher score for all candidates is below a settable threshold (Threshold 3), then the ABIS **SHALL** automatically declare a no-match.				
TPP-6	If there is no automatic decision (match or no-match) and there are candidates with scores between Thresholds 2 and 3, then the ABIS **SHALL** create and move a verification package (original images and candidate images and information) to the appropriate examiner work queues for examiner-assisted verification for a settable number of candidates (up to 10), to include any candidate in score order.				
TPP-7	The ABIS **SHALL** permit examiners to selectively pick a transaction from the Verification queue and present the selected transaction's images for at least the search prints and the first candidates within 4 seconds of the selection.				
TPP-8	The ABIS **SHALL** provide support for examiners to verify candidates for searches selected from the queue and to selectively manipulate the original image and the candidate image separately or in synchrony (i.e., zoom, magnify, and rotate; and adjust contrast, brightness, and sharpness) as well as use hyperlinked fields in the candidate entries to go to the Master ID cross-reference file or to a specific archived transaction.				
TPP-9	The ABIS **SHALL** permit the examiners to print any search or candidate fingerprint set with Type 1 and Type 2 data.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TPP-10	In the case of an automatic or manual no-hit decision where the retention code, field 1.06, is set to Y, the ABIS **SHALL** establish a new State Identification Number (SID).				
TPP-11	The ABIS **SHALL** be able to ingest EBTS response transactions (Submission Results-Electronic [SRE] and ERRT) from the FBI, and any other external systems where a search was requested in Field 2.098 NDR and store an original copy of the response in the ANSI/NIST Archive.				
TPP-12	The ABIS **SHALL** use the response information from the external systems to update the master identity files and the transaction log.				
TPP-13	The ABIS **SHALL** establish and maintain a master identity for each subject enrolled – to include links to all successfully processed transactions' TCNs, and associated SIDs.				
TPP-14	The ABIS **SHALL** automatically log all search transaction results to include the original Type 1 fields, time received, time at end of processing, and the results.				
Output					
TPO-1	The ABIS **SHALL** automatically prepare and return an SRE response containing the original TCN and Incident ID for all transactions where the subject was successfully searched – showing the results (for hit and no-hit).				
TPO-2	The ABIS **SHALL** automatically forward any external system SREs and ERRTs to the submitting agency or department.				
TPO-3	The ABIS **SHALL** automatically prepare and return an ERRT response containing the original TCN and Incident ID for all transactions where the transaction was not processable.				
TPO-4	The ABIS **SHALL** automatically add response transactions (SRE and ERRT) to the ANSI/NIST Archive.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TPO-5	The ABIS **SHALL** automatically send an SRE to the appropriate criminal records repository system.				

NIST Image Upgrade Requirements

Requirements for the inputs, processing, and outputs for finger image service (FIS) are included in the table below:

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
IUI-1	The ABIS **SHALL** be able to ingest EBTS transactions from the criminal records repository and parse them for compliance with the EBTS to include checking for duplicate TCNs.				
IUI-2	The ABIS **SHALL** be able to respond to the noncompliant transactions via an EBTS ERRT to the criminal records repository.				
IUI-3	The ABIS **SHALL** be able to forward the acceptable transactions to the appropriate and necessary destinations.				
IUI-4	The ABIS **SHALL** record in a log the results of each EBTS ingested.				
IUI-5	The ABIS **SHALL** store in a temporary file a copy of each EBTS forwarded to any other destination, by destination.				
IUI-6	The ABIS **SHALL** be able to ingest EBTS transactions received from the various livescan or input devices or external systems.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
IUI-7	The ABIS **SHALL** record a copy of each ingested transaction in the ANSI/NIST Archive.				
Processing					
IUP-1	The ABIS **SHALL** process the EBTS transactions [IUI-7] and forward image upgrade transactions to the FBI system.				
IUP-2	The ABIS **SHALL** be able to ingest responses from the FBI**.**				
IUP-3	The ABIS **SHALL** use the response information from the FBI system to update the transaction log.				
Output					
IUO-1	The ABIS **SHALL** automatically forward any internal or external system response transactions (Fingerprint Image Submission Response [FISR] and Image Transaction Error [ERRI]) to the submitting criminal records repository.				
IUO-2	The ABIS **SHALL** automatically add response transactions (FISR and ERRI) to the ANSI/NIST Archive.				

NIST Image Retrieval Requirements

The requirements for the inputs, processing, and outputs for NIST image retrieval are included in the table below:

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
IRI-1	The ABIS **SHALL** be able to ingest EBTS from the criminal records repository and parse them for compliance with the EBTS to include checking for duplicate TCNs.				
IRI-2	The ABIS **SHALL** be able to respond to the noncompliant transactions via an EBTS ERRT to the criminal records repository.				
IRI-3	The ABIS **SHALL** provide the ability for the user to create transactions using pull-down menus or manually entering the Type 2 fields.				
IRI-4	The ABIS **SHALL** forward the acceptable transactions for processing.				
IRI-5	The ABIS **SHALL** record in a log the results of each EBTS ingested.				
IRI-6	The ABIS **SHALL** store in a temporary file a copy of each EBTS forwarded for processing.				
IRI-7	The ABIS **SHALL** be able to ingest EBTS transactions received from the various livescan or input devices and external systems.				
IRI-8	The ABIS **SHALL** record a copy of each ingested transaction in the ANSI/NIST Archive in the fully EBTS compliant form in which it was received.				
Processing					
IRP-1	The ABIS **SHALL** process the EBTS transactions [Image Update In 7] and determine whether the requested image is available.				
IRP-2	If the image is not available, it **SHALL** forward image retrieval transactions to the FBI system.				
IRP-3	The ABIS **SHALL** be able to ingest responses from the FBI.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
IRP-4	The ABIS **SHALL** use the response information from the FBI Next Generation Identification (NGI) processing to update the transaction log.				
Output					
IRO-1	The ABIS **SHALL** automatically forward any internal or external system response transactions to the submitting criminal records repository or user/originating agency (ORI).				
IRO-2	The ABIS **SHALL** automatically add response transactions to the ANSI/NIST Archive.				

Tenprint to Latent Inquiry Service Requirements

Tenprint to latent inquiry (TLI) identification service specifications for inputs, processing, and outputs are organized in the table below:

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
TLII-1	The ABIS **SHALL** be able to ingest EBTS transactions as responses from searches made in response to tenprint identification service input.				
TLII-2	The ABIS **SHALL** be able to ingest EBTS transactions from the FBI/NGI.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TLII-3	The ABIS **SHALL** record in a log the results of each EBTS ingested.				
TLII-4	The ABIS **SHALL** store in a temporary file a copy of each EBTS forwarded to the ABIS.				
TLII-5	The ABIS **SHALL** be able to ingest EBTS transactions received from the various latent stations.				
TLII-6	The ABIS **SHALL** record a copy of each ingested transaction in the ANSI/NIST Archive in the EBTS compliant form in which it was received.				
Processing					
TLIP-1	The ABIS **SHALL** add all transactions that are received from the FBI to the ANSI/NIST Archive.				
TLIP-2	The ABIS **SHALL** forward all transactions that are received from the FBI to the appropriate latent station.				
TLIP-3	The ABIS **SHALL** create a latent case management system (LCMS) entry in the appropriate verification work queue for each transaction that is received.				
TLIP-4	The ABIS **SHALL** support examiners in selectively picking a transaction from the Verification queue.				
TLIP-5	The ABIS **SHALL** support the examiners in the verification of candidates for searches selected from the queue by providing the associated friction ridge images (reverse search print and original latent image) within 3 seconds of the verification transaction selection.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TLIP-6	The ABIS **SHALL** support the examiners in the verification of candidates for searches selected from the queue and to selectively manipulate the original image and the candidate image separately or in synchrony (i.e., zoom, magnify, rotate, contrast adjust, brightness adjust, reverse black and white, apply gamma correction, mirror (horizontal or vertical), sharpen/unsharpen, mark points of similarity, apply false color encoding based on image density, and generate histograms).				
TLIP-7	The ABIS **SHALL** permit the examiners to print (1) any search latent at 1:1 or 5:1 size for latent images with case number and image number as well as time and date printed or (2) any candidate fingerprint/palmprint set with Type 1 and Type 2 data for tenprint and palmprint cards.				
TLIP-8	The ABIS **SHALL** support the forensic examiner selectively declaring a match, returning the transaction to the work queue, or forwarding the transaction to another examiner for confirmation or advice.				
TLIP-9	The ABIS **SHALL** automatically log all reverse friction ridge search transactions and the steps taken, the examiners involved, and the search results in the LCMS.				
TLIP-10	The ABIS **SHALL** support the preparation of court presentations when a match is found in any TLI search.				
TLIP-11	The ABIS **SHALL** automatically log all TLI search transactions and the examiners' results in the system log and LCMS.				
Output					
TLIO-1	The ABIS **SHALL** automatically prepare a LCMS report for all TLI searches.				
TLIO-2	The ABIS **SHALL** support the examiner in selecting to (1) mark the case as closed or (2) simply save and close the LCMS file.				
TLIO-3	The ABIS SHALL maintain a searchable log of all TLI searches submitted to the ABIS by external systems and to the latent				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
	stations from the ABIS.				

Latent Inquiry Service Requirements

Requirements for the inputs, processing, and outputs for LI identification service specifications are organized in the table below:

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
LII-1	The ABIS **SHALL** support the examiners in creation of a new case in the appropriate LCMS to include entering data in the case information fields as well as the following image fields per image: • Latent collection location. • "Method of processing" using a pull-down menu.				
LII-2	The ABIS **SHALL** support the ingesting of digital images with latent fingerprints or palmprints captured at various scales as Type 13 images into a specific case using a pull-down menu of cases associated with the examiner's agency.				
LII-3	The ABIS **SHALL** support the scanning of latent friction ridge material into Type 13 images at 1:1 scale, 1,000 ppi, 8-bit gray scale, along with a ruler for calculating/verifying scale and resolution into a specific case using a pull-down menu of cases associated with the examiner's agency.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LII-4	The ABIS **SHALL** support the imaging with a high resolution digital camera of latent friction ridge material as Type 13 images at 1:1 scale, 1,000 ppi, 8-bit gray scale, along with a ruler for calculating/verifying scale and resolution into a specific case using a pull-down menu of cases associated with the examiner's agency.				
LII-5	The ABIS **SHALL** support the ingesting of latent case textual information linked to a latent image as Type 2 fields from a text file or the keyboard into a specific case using a pull-down menu of cases associated with the examiner's agency.				
LII-6	The ABIS **SHALL** support the scanning of inked fingerprints into Type 13 images from deceased persons at 1,000 ppi, 8-bit gray scale into a specific case using a pull-down menu of cases associated.				
LII-7	The ABIS **SHALL** support the ingesting of crime scene and object reference images selectively as Type 20 and Type 21 images for use in the LCMS into a specific case using a pull-down menu of cases associated.				
LII-8	The ABIS **SHALL** ingest LFFSs submitted from ULWs at outside agencies, after logging them into the LCMS, set them for auto run.				
LII-9	The ABIS **SHALL** support the examiner in selectively creating an LFFS package for each latent image in a case, with the appropriate Type 1, Type 2, Type 13, and Type 20 records, and store it in the LCMS as an LFFS.				
LII-10	The ABIS **SHALL** update the LCMS logs with the results of each step in the forensic services input process.				
Processing					
LIP-1	The ABIS **SHALL** automatically queue the latent transaction within the LCMS.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LIP-2	The ABIS **SHALL** permit a forensic examiner to select a transaction for preprocessing from the work queue.				
LIP-3	The ABIS **SHALL** support the preprocessing of Type 13 latent images to include image processing (i.e., zoom, magnify, rotate, contrast adjust, brightness adjust, reverse black and white, apply gamma correction, apply a Fast Fourier Transform (FFT), mirror (horizontal or vertical), sharpen/unsharpen, mark features, apply false color encoding based on image density, generate histograms, and select a region of interest) and save the results to LCMS.				
LIP-4	The ABIS **SHALL** selectively export from the LCMS the Type 13 for preprocessing on another system				
LIP-5	The ABIS **SHALL** import to the LCMS Type 13 images that were preprocessed on other systems.				
LIP-6	The ABIS **SHALL** support Examiner in selectively saving and closing the case or submitting it for extraction.				
LIP-7	The ABIS **SHALL** support the auto-extraction of features from LCMS transactions using the Extended Feature Set as defined in the ANSI/NIST ITL-1 2011 Standard and save the results to LCMS.				
LIP-8	The ABIS **SHALL** support the manual review and editing of features by an examiner and save the results to LCMS.				
LIP-9	The ABIS **SHALL** support the creation/editing of search parameters such as selective geographic location, crime type(s), or a specific subject (e.g., a suspect in the case), pattern type, hand, or finger position, to include candidate list length (up to 250 candidates) using pull-down menus.				
LIP-10	The ABIS **SHALL** support the submittal of LI searches selectively against any combination of known fingerprints, palmprints, and unsolved latents on the ABIS where the known fingerprints include all enrolled exemplars – both rolled and plain impressions.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LIP-11	The ABIS **SHALL** build candidate lists of possible matches to forward searches and queue them for forensic examiners to select for verification; candidate Type 2 information **SHALL** include sex, date of birth (DOB), and complete pattern type list.				
LIP-12	If the latent case was a remote, lights-out search, the ABIS **SHALL** automatically forward the candidate list to the submitting examiner with the images of the top candidates (a selectable number up to 10).				
LIP-13	The ABIS **SHALL** support examiners in selectively picking a transaction from the Verification queue.				
LIP-14	The ABIS **SHALL** support the examiners in the verification of candidates for searches selected from the queue by providing the associated friction ridge images, features (search print and first candidate), and a list of Type 2 and record processing history within 3 seconds of the selection.				
LIP-15	The ABIS **SHALL** support the examiners in the verification of candidates for searches selected from the queue and allow them to selectively manipulate the original image and the candidate image separately or in synchrony (i.e., zoom, magnify, rotate, contrast adjust, brightness adjust, reverse black and white, apply gamma correction, apply FFT, mirror [horizontal or vertical], sharpen/unsharpen, mark points of similarity, apply false color encoding based on image density, generate histograms, turn on and turn off all minutiae, and display matching minutiae).				
LIP-16	The ABIS **SHALL** support the forensic examiner in selectively declaring a tentative match, returning the transaction to the queue, forwarding the transaction to another examiner for confirmation or advice, or editing and resubmitting the search to include manually editing the feature set.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LIP-17	The ABIS **SHALL** support a second forensic examiner selectively selecting a confirmation-verification package and using the tools declaring a match, non-match, or elimination; or editing and resubmitting the search to include manually editing the feature set.				
LIP-18	The ABIS **SHALL** automatically log all forward friction ridge search transactions and the steps taken, the examiners involved, and the search results in the LCMS.				
LIP-19	The ABIS **SHALL** support the preparation of court presentations when a match is found in any forensic friction ridge search.				
LIP-20	The ABIS **SHALL** automatically log all LI search transactions and the examiners' results in the system log and LCMS.				
Output					
LIO-1	The ABIS **SHALL** automatically prepare a LCMS report for all forensic searches that lead to an identification.				
LIO-2	The ABIS **SHALL** support the examiner in selecting to (1) add new unsolved latents to the unsolved latent file with a link to the appropriate LCMS records, (2) delete the record, or (3) simply save and close the LCMS file.				
LIO-3	The ABIS **SHALL** support the selective forwarding of LFFS transactions to the FBI, first using a Latent Penetration Query (LPNQ) transaction, if appropriate, or to other systems (e.g., cross-jurisdictional partners) using the extended feature set (EFS) or ULW to generate a more appropriate Type 9 record.				
LIO-4	The ABIS **SHALL** support the ingesting of any response to an LPNQ transaction (a Latent Penetration Query Response [LPNR] TOT) automatically forwarding it to the appropriate LCMS case.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LIO-5	The ABIS **SHALL** support the ingesting of any response to an LFFS transaction (Search Results-Latent [SRL] or Latent Transaction Error [ERRL] TOTs) automatically forwarding it to the appropriate LCMS case.				
LIO-6	The ABIS **SHALL** maintain a searchable log of all forensic transactions submitted (along with the responses) to the ABIS and to external systems in the system log and LCMS.				
LIO-7	The ABIS **SHALL** support the selective forwarding of FBI and other external responses (SRL TOTs) to latent transactions to the appropriate Verification queue.				
LIO-8	The ABIS **SHALL** automatically log all LI search transactions and the examiners' results in the system log and LCMS.				

Latent Case Management Requirements

Requirements for the latent case management service (LCMS) specifications are organized in the table below.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LCMS-1	The ABIS **SHALL** support latent examiners and system administrators in the creation of latent cases, independent of actually loading any images, to include entering and saving information in the following data fields: ● Case name. ● Case number. ● Owning agency. ● Date of crime. ● Date case opened in LCMS. ● Examiner the case is assigned to. ● Crime Lab reference number. ● 4-digit NCIC Uniform Offense Code ● State Crime Code(s) – a pull down menu based on the 4-digit Uniform Crime code entered. ● Auto delete flag at statute of limitations date (Y/N). Up to 10 additional free form fields.				
LCMS-2	The ABIS **SHALL** support latent examiners and system administrators in populating and updating a "method of collection" table used in an LCMS pull-down menu of types of collection/processing to include lifts; digital imagery; Alternate Light Source (ALS); ninhydrin, DFO, or other chemical process; deposition processes); and up to 10 others.				
LCMS-3	The ABIS **SHALL** support latent examiners and system administrators in populating and updating a table of statutes of limitations on state crime codes.				
LCMS-4	The ABIS **SHALL** permit and support latent examiners and system administrators in selective maintenance of the LCMS files, unsolved latent file, and matcher files to include correcting incorrectly entered information, moving images between cases, merging cases, and updating the table of statutes of limitations based on state crime codes.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LCMS-5	The ABIS **SHALL** automatically track all latents submitted to external agencies for retention.				
LCMS-6	The ABIS **SHALL** automatically track for reporting purposes all latents submitted by external agencies.				
LCMS-7	The ABIS **SHALL** automatically identify situations where searches against different latents from the same case have identical candidates anywhere in the top 100 positions and alert the examiner(s) assigned to the case with a message in their work queue.				
LCMS-8	The ABIS **SHALL** offer latent examiners and system administrators the ability to remove latent images from the ABIS and/or an external unsolved latent file(s).				
LCMS-9	If latent examiners and system administrators elect to remove a latent image from any external system's unsolved latent file, the ABIS **SHALL** automatically generate the appropriate TOT.				
LCMS-10	The ABIS **SHALL** automatically alert the system administrator via a message in an administrative queue when a case reaches the following windows: 90, 60, and 30 days from the expiration of the statute of limitations for any and all cases.				
LCMS-11	The ABIS **SHALL** support the latent examiners and system administrators in selectively opening and relaunching items in their work queue and in relaunching or closing cases where the statute of limitations expired notice has been sent to them.				
LCMS-12	The ABIS **SHALL** automatically delete unsolved cases from the LCMS when the statute of limitations expires if the Auto-Delete flag was set to "Y" in LCMS when the case was opened or at any later point.				
LCMS-13	If the LCMS automatically closes a latent case that has any images in an external system's unsolved latent file, the ABIS **SHALL** automatically generate the appropriate TOT.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
LCMS-14	The ABIS **SHALL** submit latent management transactions to the FBI's NGI system.				
LCMS-15	The ABIS **SHALL** be able to ingest external system responses from the FBI (ULAR, ULDR, LSMR, and Administrative Transaction Error [ERRA] TOTs).				
LCMS-16	The ABIS **SHALL** use the response information from the FBI to update the transaction log.				
LCMS-17	The ABIS **SHALL** automatically forward any external system response transactions to the appropriate local system interface.				
LCMS-18	The ABIS **SHALL** automatically log all latent management transactions and activities to include date, time, person performing the activity, activity type, status (successful or problem encountered), and any changes to the ABIS or external system matcher files of unsolved latents.				
LCMS-19	The ABIS **SHALL** record a copy of each ingested transaction in the ANSI/NIST Archive in the EBTS compliant form in which it was received.				

Rapid/Mobile ID Requirements

Requirements for the inputs, processing, and outputs for rapid/mobile identification (RMID) service specifications are organized in the table below:

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
RMIDI-1	The ABIS **SHALL** be able to ingest TPIS transactions and parse them for compliance with the EBTS to include checking for duplicate TCNs.				
RMIDI-2	The ABIS **SHALL** be able to forward the acceptable transactions to the local criminal records system to solicit any name-based candidates.				
RMIDI-3	The ABIS **SHALL** be able to ingest EBTS responses from the criminal records system.				
RMIDI-4	The ABIS **SHALL** process the acceptable TPIS transactions at the priority set to 1 (the highest priority value).				
RMIDI-5	The ABIS **SHALL** record in a log the results of each TPIS transaction ingested.				
RMIDI-6	The ABIS **SHALL** store in a temporary file a copy of each TPIS forwarded for processing.				
RMIDI-7	The ABIS **SHALL** be able to ingest TPIS transactions received.				
RMIDI-8	The ABIS **SHALL** record a copy of each ingested TPIS transaction in the ANSI/NIST Archive in the fully EBTS compliant form in which it was received.				
Processing					
RMIDP-1	The ABIS **SHALL** "feature extract" the fingerprint images and create an appropriate internal search of the matchers (TP-TP).				
RMIDP-2	The ABIS **SHALL** automatically prepare and return an ERRT response containing the original TCN and Incident ID for all transactions that were not processable.				
RMIDP-3	The ABIS **SHALL** automatically execute all TP-TP searches using the features extracted.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
RMIDP-4	If the matcher score for a name-based candidate or a technical candidate is above a settable threshold, the ABIS **SHALL** automatically add that subject to the candidate list, with any name-based strong candidate in the number one position.				
RMIDP-5	The ABIS **SHALL** forward transactions to the FBI's NGI if a search was requested and no match was made at ABIS.				
RMIDP-6	The ABIS **SHALL** ingest the FBI responses (SRT, Tenprint Rap Sheet Response [TPRR], and ERRT).				
RMIDP-7	The ABIS **SHALL** automatically log all TPIS search transaction results (local and FBI) to include the Type 1 fields, time received, time logged at end of processing, and the results.				
Output					
RMIDO-1	If there are any candidates available, then the ABIS **SHALL** automatically return a response TOT with the five highest (configurable) scoring candidates and associated mug shots, if available.				
RMIDO-2	If there are no candidates available, then the ABIS **SHALL** automatically return a response TOT with that information.				
RMIDO-3	The ABIS **SHALL** automatically forward FBI responses (SRT, TPRR, and ERRT) to the originating device.				
RMIDO-4	The ABIS **SHALL** automatically add response transactions (SRT, TPRR, and ERRT) to the ANSI/NIST Archive.				

Facial Identification Services Requirements

Facial recognition is a means of biometric identification, for possible ABIS use in the future, if not on the first day of system implementation. Requirements for the inputs, processing, and outputs for facial identification (FID) service specifications are organized in the table below

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
FIDI-1	The ABIS **SHALL** be capable of ingesting Facial ID transactions and parsing them for compliance with the EBTS to include checking for duplicate TCNs.				
FIDI-2	The ABIS **SHALL** be capable of forwarding the acceptable Facial ID transactions to the ABIS with the configurable priority set.				
FIDI-3	The ABIS **SHALL** be capable of recording in a log the results of each Facial ID transaction ingested.				
FIDI-4	The ABIS **SHALL** be capable of storing in a temporary file a copy of each Facial ID forwarded to the ABIS.				
FIDI-5	The ABIS **SHALL** be capable of ingesting Facial ID transactions received from the various Facial ID devices.				
FIDI-6	The ABIS **SHALL** be capable of recording a copy of each ingested Facial ID transaction in a temporary configurable-sized file in the ANSI/NIST Archive in the EBTS form in which it was received.				
Processing					
FIDP-1	The ABIS **SHALL** be capable of "feature extracting" the Facial images and create an appropriate internal search of the matchers.				
FIDP-2	The ABIS **SHALL** be capable of automatically preparing and returning an ERRT response containing the original TCN and Incident ID for all transactions that were not processable at the ABIS.				
FIDP-3	The ABIS **SHALL** be capable of automatically executing all Facial searches using the features extracted in FIDP-1.				
FIDP-4	If the matcher score for a technical candidate is above a settable threshold [Threshold 4], then the ABIS **SHALL** be capable of automatically adding that subject to the candidate list, with any biometric-based strong candidate in the number one position.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
FIDP-5	The ABIS **SHALL** be capable of forwarding transactions to the other identified system interfaces, as appropriate.				
FIDP-6	The ABIS **SHALL** be capable of ingesting the FBI responses.				
FIDP-7	The ABIS **SHALL** be capable of automatically logging all Facial ID search transactions results to include the Type 1 fields, time received, time logged at end of processing, and the results.				
Output					
FIDO-1	If there are any candidates [FIDP-4] available, then the ABIS **SHALL** be capable of automatically returning a response TOT with the five highest-scoring candidates and associated mug shots, if available.				
FIDO-2	If there are no candidates [FIDP-4] available, then the ABIS **SHALL** be capable of automatically returning a response TOT with that information.				
FIDO-3	The ABIS **SHALL** be capable of automatically forwarding FBI responses to the originating device.				
FIDO-4	The ABIS **SHALL** be capable of automatically adding response transactions to the ANSI/NIST Archive.				

Iris Identification Services Requirements

Iris recognition is another means of biometric identification for possible ABIS use in the future. Requirements for the inputs, processing, and outputs for LI identification service specifications are organized in the table below:

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
IIDI-1	The ABIS **SHALL** be capable of ingesting Iris ID transactions and parse them for compliance with the EBTS to include checking for duplicate TCNs.				
IIDI-2	The ABIS **SHALL** be capable of forwarding the acceptable Iris ID transactions to the ABIS with the configurable priority set.				
IIDI-3	The ABIS **SHALL** be capable of recording in a log the results of each Iris ID transaction ingested.				
IIDI-4	The ABIS **SHALL** be capable of storing in a temporary file a copy of each Iris ID forwarded to the ABIS.				
IIDI-5	The ABIS **SHALL** be capable of ingesting Iris ID transactions received from the various Iris ID devices.				
IIDI-6	The ABIS **SHALL** be capable of record a copy of each ingested Iris ID transaction in a temporary configurable-sized file in the ANSI/NIST Archive in the EBTS form in which it was received.				
Processing					
IIDP-1	The ABIS **SHALL** be capable of "feature extracting" the iris images and create an appropriate internal search of the matchers.				
IIDP-2	The ABIS **SHALL** be capable of automatically preparing and returning an ERRT response containing the original TCN and Incident ID for all transactions that were not processable at the ABIS.				
IIDP-3	The ABIS **SHALL** be capable of automatically executing all iris searches using the features extracted in IIDP-1.				
IIDP-4	If the matcher score for a technical candidate is above a settable threshold [Threshold 4], then the ABIS **SHALL** be capable of automatically adding that subject to the candidate list, with any biometric-based strong candidate in the number one position.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
IIDP-5	The ABIS **SHALL** be capable of forwarding transactions to any identified system interface, as appropriate.				
IIDP-6	The ABIS **SHALL** be capable of ingesting the FBI responses.				
IIDP-7	The ABIS **SHALL** be capable of automatically logging all Iris ID search transactions results to include the Type 1 fields, time received, time logged at end of processing, and the results.				
Output					
IIDO-1	If there are any candidates [IIDP-4] available, then the ABIS **SHALL** be capable of automatically returning a response TOT with the five (or other configurable number) highest-scoring candidates and associated mug shots, if available.				
IIDO-2	If there are no candidates [IIDP-3] available, then the ABIS **SHALL** be capable of automatically returning a response TOT with that information.				
IIDO-3	The ABIS **SHALL** be capable of automatically forwarding FBI responses to the originating device.				
IIDO-4	The ABIS **SHALL** be capable of automatically adding response transactions to the ANSI/NIST Archive.				

Technical Requirements

This section provides the system technical requirements for the new ABIS environment. The technical requirements (also known as non-functional requirements) are organized as follows:

- Capacity requirements – capability to store some number of a class of items such as:
  - » Enrolled transactions.
  - » Searchable feature-based data sets online in matchers.
- Performance requirements – number of events and units of time such as:
  - » Throughput as expressed in transactions turned around in a period of time.
  - » Average transaction response time.
- Accuracy requirements – matcher capability.
  - » Tenprint to tenprint accuracy.
  - » Tenprint to latent accuracy.
  - » Latent to tenprint accuracy.
  - » Palm latent to known palm accuracy.
  - » Criminal known palm to latent accuracy.
- Safety requirements.
- Security requirements.
- Environmental requirements – such as uninterruptible power supplies (UPSs) and office environment noise levels
- Hardware requirements – capacities and performance of workstations and printers.
- Backup/Recovery/Availability requirements.

Storage Capacity Requirements

Storage capacities are relevant to the following areas of the ABIS system architecture, including:

- ANSI/NIST Archive.
- The templates/features loaded in the matchers.

The ABIS will be designed to accommodate an ANSI/NIST Archive of all input and output transactions through the life of the contract. The addition of response TOTs will make the capacity requirements larger than the storage of input transactions only. Note that most response transactions generated by the ABIS are smaller than the corresponding input transactions. The vendor will have to perform the appropriate design analysis to determine the design requirements in terms of terabytes as a function of transaction type using the data specified in this document.

At the initial operating point of the ABIS, all existing records will have been loaded into the ABIS, to include loading them into the ANSI/NIST Archive, the matchers, any other repositories, and the master index.

The ABIS storage requirements are listed in the table below.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
SR-1	For the base contract, the ABIS **SHALL** have the capacity to store in the ANSI/NIST Archive at the beginning of any year, at least the number of EBTS transactions based on the current volumes, plus expected growth.				
SR-2	For the base contract, the ABIS **SHALL** have the annual capacity to store in the matchers the templates for enrolled fingerprints.				
SR-3	For the base contract, the ABIS **SHALL** have the annual capacity at the beginning of the year to store in the matchers the templates for enrolled unsolved fingerprints and palmprints at the levels based on the current volumes, plus expected growth.				
SR-4	For the base contract, the ABIS **SHALL** have the capacity to store a backup copy on portable digital media of all ANSI/NIST transactions that are in the ANSI/NIST Archive and the biometric feature sets (also known as templates) in the matchers, in any given year, as a backup for the Archive and matchers.				
SR-5	The ABIS **SHALL** have the capacity and ability to create and store ABIS level logs for all activities listed in the Functional Requirements for a period commensurate with the current FBI CJIS Security Policy, plus 3 additional years.				

Performance Requirements

The ABIS will meet performance (throughput and response time) requirements as specified in this section.

Throughput Requirements

The ABIS throughput requirements cover all three of the primary current types of services:

- Tenprint services.
- Latent services.
- Rapid/Mobile ID services.

The throughput requirements are defined in the table below. Throughput requirements are for concurrent ingestion and processing of identification, forensic, and tactical transactions.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TPR-1	For the base contract, the ABIS **SHALL** be able to ingest, process, and respond in the peak period to at least the daily average of current transaction counts, plus anticipated growth, while maintaining the response times noted in the table below, while latent and Mobile ID transactions are being ingested, processed, and responded to. [This requirement is independent of any time for examiners to perform QC on the input stream or to review candidate lists/perform verification.]				
TPR-2	For the base contract, the ABIS **SHALL** be able to ingest, process, and respond in the peak period to at least the daily average of current transaction counts, plus anticipated growth, while maintaining the response times noted in the table below, while identification and Rapid/Mobile ID transactions are being ingested, processed, and responded to. [This requirement is independent of any time for examiners to perform QC on the input stream or to review candidate lists/perform verification.]				
TPR-3	For the base contract the ABIS **SHALL** be able to ingest, process, and respond in the peak period to at least the daily average of current transaction counts , plus anticipated growth, while maintaining the response times noted in the table below, while identification and latent transactions are being ingested, processed, and responded to.				
TPR-4	If in any day the ABIS is presented with more transactions in a peak hour than the design capacity, then the ABIS **SHALL** queue the additional work and process it as soon as capacity is available, with that processing to be based on the priority of the transactions.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TPR-5	If in any day the ABIS is presented with more transactions in a peak hour than the design capacity, then the ABIS **SHALL** queue the additional work and process it as soon as capacity is available, with that processing to be based on the priority of the transactions.				

Response Time Requirements

The response time for ABIS transactions is a function of the transaction type (identification, forensic, and tactical [Rapid/Mobile ID]). The response times do not include any human interaction times.

The table below provides the response times per class of transaction, while the Response Time Requirements table defines the requirements for providing these response times.

Transaction Class Types	Response Times Under Peak Load
Criminal TP-TP	5 minutes
TP-LT	5 minutes
LT-TP	20 minutes
Palm LT-KP	20 minutes
Criminal KP-LT	10 minutes
Rapid/Mobile ID TP-TP	2 minutes

The response time requirements stated below are for 95 percent of the transactions in any period, as there are always some outliers caught up in a data processing system and they should not be considered in the performance testing. Testing will be done against the initial repository load using a test set with a mixture of all transaction types at the peak rates calculated using the table above.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
RR-1	For the base contract, the ABIS **SHALL** provide responses for 95 percent of submitted transactions in accordance with the response times noted in the table above. Response time to be measured from the end of ingest through the final response, to the return of a response from the ABIS to the submitting device with no error TOTs in the mix.				
RR-2	For the option years in the contract, the ABIS **SHALL** provide responses for 95 percent of submitted transactions in accordance with response times noted in the table above. Response time to be measured from the end of ingest through the final response, to the return of a response from the ABIS to the submitting device with no error TOTs in the mix.				
RR-3	The ABIS **SHALL** use transaction priority in assigning transactions to queues and in processing them when higher than peak transaction rates are encountered – processing higher priority transactions ahead of lower priority transactions in the same Transaction Class Type.				

Accuracy Requirements

The matcher accuracy will vary as a function of the class of service (identification, forensic, and tactical (Rapid/Mobile ID) and the quality of the input images. Identification service accuracy requirements are typically higher than those for forensic services, as the input images are typically of better quality for livescan enrollments than for latent lifts.

Accuracy terms-of-art have been undergoing an evolutionary change for the past few years. While reliability, true accept rate, false reject rate, and other terms are often used for access control systems and other biometric modalities (such as facial recognition) – a consensus has developed in the international standards community around the terms true match rate and failure to match rate when discussing friction ridge matching on a large scale.

For this project accuracy will include three accuracy terms:

- *True Match Rate* – the probability that a true match will be found when it is in the background reference file (also known as a repository). This term replaces older terminology such as matcher reliability or true accept rate.

- *Failure to Match Rate* – the probability that a search will not return a true match when the true

match is in the reference file. The failure to match rate is 100 percent minus the true match rate. While not explicitly stated in the requirements, it will be calculated during testing and reported.

- *Selectivity* – the number of candidates that will be examined to determine the true match rate. While the system administrators will be able to selectively change the length of candidate lists by transaction class, and by threshold scores, during testing, system accuracy will be measured using the selectivity numbers shown in the table that follows.

Transaction Types	Selectivity	True Match Rate
TP-TP	1	99.9%
Mobile ID TP-TP (with fewer than 10 prints)	8	99.9%
TP-LT	10/25	93%/100%
Criminal KP-LT	10/25	93%/100%
LT-TP	10/25	93%/100%
Palm LT-KP	10/25	93%/100%

The accuracy requirement is listed in the following table.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
AR-1	The ABIS **SHALL** provide accuracy for submitted transactions in accordance with the values in the table above while conforming to the response times in noted in the table above. The accuracy will be measured using provider best practices.				

Safety Requirements

There are two requirements for the electrical safety of the ABIS. They are specified in the following table. The intent is to ensure that safe equipment is used and that it is installed properly in terms of grounding (e.g., any power strips used at the ABIS workstations must be certified and be installed and used correctly).

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
SFR-1	All hardware configuration items delivered as part of the ABIS **SHALL** conform to the appropriate U.S. Underwriters Laboratory standards for electronic devices and be so certified.				
SFR-2	All required grounding **SHALL** conform to the manufacturer's specifications and recommendations.				

Security Requirements

All configuration items that process, transmit, or store digital information delivered as part of the ABIS will require some level of InfoSec, as the system is connected to the FBI's criminal justice network, and the CJIS security requirements must be complied with, including user and administrator login rules, audit trail requirements, and reporting capabilities.

InfoSec includes ensuring data confidentiality, integrity, and availability – and thus antivirus protection is to be included in the systems to the extent to which there are commercial antivirus packages available for the operating systems selected by the provider.

The InfoSec Requirements are listed below.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
IFSR-1	The ABIS solution **SHALL** conform to and be compliant with the CJIS Security Policy v5.8, in its entirety.				
IFSR-2	The ABIS solution **SHALL** be specifically compliant with section 5.5 (Access Control) of the CJIS Security Policy				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
IFSR-3	The ABIS solution **SHALL** be specifically compliant with section 5.6 (Identification and Authentication) of the CJIS Security Policy				
IFSR-4	The ABIS solution **SHALL** be specifically compliant with section 5.4 (Auditing and Accountability) of the CJIS Security Policy.				
IFSR-5	The ABIS solution **SHALL** be specifically compliant with section 5.3 (Incident Response) of the CJIS Security Policy.				
IFSR-6	The ABIS solution **SHALL** be specifically compliant with section 5.10 (System and Communications Protection and Information Integrity) of the CJIS Security Policy.				
IFSR-7	The ABIS solution, if cloud-based either as a whole or components of **SHALL** be subject to an audit of the solution or facilities.				
IFSR-8	Antivirus software **SHALL** be loaded on all processors that run operating systems where there are commercial antivirus packages available.				
IFSR-9	The antivirus software **SHALL** automatically virus scan all files on portable data storage devices (i.e., CDs, DVDs, USB devices with memory, and floppy disk media) presented to a system and report alerts and other problems.				
IFSR-10	The antivirus software **SHALL** automatically log, for an agency configurable period of time, all virus alerts and action taken.				

Environmental Requirements

There are ABIS imposed environmental requirements on all workstations and workstation peripherals such as printers.

The system design will include the capability to meet the following power/voltage conditioning and related availability requirements as well as noise level requirements as noted in the table below. These requirements address sustainment of power during blackouts and brownouts and noise levels in an office environment.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
ENVR-1	Each workstation **SHALL** have a UPS that can support the workstation for up to 20 continuous minutes in the event of a loss of building power.				
ENVR-2	Each workstation UPS **SHALL** provide the user with a signal in cases where the UPS has been the only source of power to the device for 10 continuous minutes.				
ENVR-3	Each workstation **SHALL** automatically shut down properly, based upon the receipt of a 10-minute warning, if the operator does not initiate a shutdown within 10 minutes of the signal when the UPS has continuously remained the only source of power to the device for that time.				
ENVR-4	The verification stations **SHALL** be able to operate in an office environment, without any requirement for supplemental air conditioning or noise suppression: ● 68° to 72° temperature with a relative humidity between 40 and 60 percent. ● Noise below 70 dBA measured at the workstation suite.				

Hardware Requirements

This section provides the form and fit requirements for the ABIS as indicated in the table below. The requirements are for the workstations and card printers to be delivered to ABIS sites, to include the locations and number of units per site.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
HDR-1	Each tenprint workstation **SHALL** have: • A microprocessor with at least 2.8 GHz clock speed and at least four cores. • Built in graphics or a graphics board with at least 512 MB of onboard memory. • 8 GB of internal RAM. • One 24-inch or larger flat panel display with at least 1920×1200 resolution and digital visual interface. • 1 Gigabit Network Interface Card. • At least one 500 GB hard disk drive. • Keyboard and mouse. • FBI EBTS Appendix F certified flatbed scanner. • The most recent version of the operating system that was used to certify the scanner. • A full suite of the vendor tenprint software, and the ability to use the vendor latent software.				
HDR-2	Each latent workstation **SHALL** have: • A microprocessor with at least 3.2 GHz clock speed and at least four cores. • Built in graphics or a graphics board with at least 1 GB of onboard memory. • 8 GB of internal RAM. • One 24-inch or larger flat panel display with at least 1920×1200 resolution and digital visual interface. • 1 Gigabit Network Interface Card. • At least one 750 GB hard disk drive. • Keyboard and mouse. • FBI EBTS Appendix F certified flatbed scanner. • The most recent version of the operating system that was used to certify the scanner.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
	• Adobe Photoshop Elements™ Version 9 or later. • A full suite of the vendor latent software, and the ability to use the vendor tenprint software.				
HDR-3	Each administrative workstation **SHALL** have: • A microprocessor with at least 2.4 GHz clock speed and at least four cores. • Built in graphics or a graphics board with at least 256 MB of onboard memory. • 8 GB of internal RAM. • One 24-inch or larger flat panel display with at least 1920×1200 resolution and digital visual interface. • 1 Gigabit Network Interface Card. • At least one 500 GB hard disk drive. • Keyboard and mouse. • The most recent version of the operating system that was used to certify the scanner • Microsoft Office™ Version 2016 or later.				
HDR-4	Each card printer **SHALL** have: • At least two drawers/trays to support fingerprint and palmprint card stock simultaneously without having to physically change trays. • FBI Appendix F Certification. • Connectivity to a workstation or server running the most recent version of the operating system that was used to certify the printer • Simultaneous two-sided print capability. • 1 Gigabit Network Interface Card. • At least 256 MB of memory.				
HDR-5	The provider **SHALL** respond to its ability to provide an ABIS system solution utilizing virtual desktop infrastructure (VDI).				

Backup/Recovery/Availability Requirements

This section provides the backup/recovery/availability requirements for the ABIS. To support these, there are requirements for the ability to backup and restore the system or any of its major data components.

There are two sets of requirements:

● Backup and recovery.

● Availability and restoration.

Backup and Recovery

The ABIS will need to be backed up (data and system configurations) frequently for Continuity of Operations considerations. Copies of the backup tapes will be stored off site from the central site (primary and disaster sites) to increase the likelihood of their availability in case of a natural or man-made disaster. These backup files will be created and moved off site. The requirements for backup and recovery are listed in the table below.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
BUPR-1	The ABIS **SHALL** permit the provider system administrators to selectively create full and incremental backups of any or all files on the ABIS, to include administrative files, ANSI/NIST Archive files, transaction files, master identity indexes, transaction results, and the back-end matcher files, to include feature sets and matcher identity indexes, without impacting functionality of the system.				
BUPR-2	The ABIS **SHALL** permit the provider system administrators to selectively support the recovery of any or all files from the backups [BUPR-1] to the appropriate locations.				
BUPR-3	The ABIS **SHALL** maintain synchrony between the primary ABIS site and the disaster recovery site such that each and every transaction successfully enrolled in the operational site is still available in case of a switchover to the other ABIS site.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
BUPR-4	The ABIS **SHALL** ensure that all data transmitted/received from primary/backup/disaster recovery sites needs to be encrypted in transit and at rest as prescribed in CJIS Security Policy section 5.10.				

Service Availability and Restoration Requirements

Given that the ABIS will operate under a Continuity of Operations (COOP) to include a disaster recovery site, it is anticipated that ABIS services will have a very high level of continuous availability.

The availability of all ABIS services is set at 99.8 percent per month without any allowance beyond 99.8 percent for scheduled outages or switchover from the primary to the disaster recovery site (or vice versa). Service availability of 99.8 percent leaves a little less than 90 minutes a month for service outages at the ABIS level. The provider is free to roll scheduled outages between the primary and disaster recovery sites to preclude as many ABIS service outages as possible. The purposes of the disaster recovery site are to:

● Provide for fast recovery for failed equipment and localized power outages at the primary site – 99.8 percent availability is a requirement. This includes provision of any and all necessary power conditioning and alternative power sourcing to maintain the availability requirement.

● Provide the basis for recovery of services in the event of a catastrophic failure at the primary site (fire, explosion, radioactive contaminations, etc.).

The requirement for availability is listed in the table below.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
SARR-1	During the life of this contract, to include any optional extensions, the ABIS **SHALL** provide at least 99.8 percent availability of all ABIS services unless a catastrophic event occurs – measured monthly, to include as unavailable time (1) any scheduled outages for preventive maintenance and				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
	(2) planned upgrades where the ABIS users do not have access to and the use of ABIS services. For purposes of this requirement "catastrophic event" is defined as a natural or man-made disaster that destroys both the primary and the disaster recovery ABIS sites or renders both unusable due to fire, water damage, earthquake, radioactive leak, large-scale power outage, declared medical pandemic, or a large-scale communications infrastructure outage (telephones and Internet access). Large-scale means at least impacting the city where the site is located.				

Interface Requirements

The key interfaces/exchanges operational and required in the ALEA environment are described in the table below.

Ref.	Interface/Exchange
1	FBI
2	Computerized Criminal History
3	LEA Livescans
4	Huntsville PD AFIS
5	Mobile Sheriff's Office AFIS

The interface requirement is listed in the following table.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
INTFR-1	The ABIS **SHALL** provide, test, and implement each and all of the interfaces listed in the table above during implementation of the new system environment.				

Standards Requirements

The current standards and models applicable operational and required in the current ALEA AFIS environment include:

● American National Standards Institute/National Institute of Standards and Technology (ANSI/NIST), ANSI/NIST-ITL 1-2011, Data Format for the Interchange of Fingerprint, Facial, and other Biometric Information, Update: 2015.

● Electronic Biometric Transmission Specification (EBTS) with Technical and Operational Updates (TOUs) NGI-DOC-01862-1.2, Version 10.0.9 dated May 22, 2018.

● IAFIS-IC-0110 (V3), 1993. FBI Wavelet Scalar Quantization Compression Standard for 500 ppi fingerprint images.

● IS 10918-1, 1994. Joint Photographic Experts Group (JPEG) – Compression standard for continuous tone (e.g., photograph) images.

● IS 15444-1, 2001. Joint Photographic Experts Group (JPEG 2000) – Compression standard approved by the FBI for 1,000 ppi fingerprint images.

● FBI CJIS, CJISD-ITS-DOC-08140-5.8, CJIS Security Policy, Version 5.8, dated June 1, 2019.

● Alabama Law Enforcement Agency Electronic Fingerprint Submission Specification, August 2015

The standards requirement is listed in the following table.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
STDR-1	The ABIS **SHALL** be compliant with each and all of the standards and policies listed in the table above in the new system environment.				

Administrative Functions Requirements

The system administrators (provider staff and ALEA staff) will be responsible for the integrity of information in the system; creating and maintaining user accounts; backing up and restoring files; exporting files in response to ad hoc requests; and generating reports, as appropriate.

In addition to the normal Administrative tasks described further below, there is one added set of requirements associated with testing new and modified TOTs.

Administrative Function service specifications are organized under one of the three categories below:

- *Input* – ABIS administrators use this workflow to test new and modified TOTs. The TOTs can be any of those ingested by or created as output by any other workflow. They may be sent to the ABIS. The format is the normal TOT name with a T appended to it (***T) to signal all systems that it is a test transaction and thus should not be added to any system.
- *Processing* – The ABIS will process locally all test transactions received.
- *Output* – The ABIS will prepare responses to all test transactions received. The requirements are listed in the table below.

This table lists the TOTs associated with this requirement.

Type of Transaction	Transaction Name
***T	Test Transaction version of any Workflow TOT

All Test transactions will be parsed for compliance with the ABIS EBTS. Transactions that fail the parsing test will be logged and returned with an ERRT response. Successful transactions (i.e., those that pass the parser checks) will be forwarded to the originator.

The test transaction requirements are listed in the following table.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
Input					
TESTI-1	The ABIS **SHALL** be able to ingest test EBTS transactions from the criminal record repository and parse them for compliance with the ABIS EBTS, to include checking for duplicate TCNs.				
TESTI-2	The ABIS **SHALL** be able to respond to the noncompliant Test transactions via an EBTS error transaction (ERRT) to the criminal record repository or other submitter.				
TESTI-3	The ABIS **SHALL** be able to forward the acceptable Test transactions to the originator.				
TESTI-4	The ABIS **SHALL** record in a log the results of each Test EBTS ingested.				
Processing					
TESTP-1	The ABIS **SHALL** process the test EBTS transactions received from the devices and process them				
TESTP-2	The ABIS **SHALL** process the test transaction – without adding or changing the archive, the matcher repositories, or any indexes.				
TESTP-3	The ABIS **SHALL** update the transaction log with the processing results.				
Output					
TESTO-1	The ABIS **SHALL** automatically generate and forward the appropriate system response transaction to the submitting criminal record repository.				
TESTO-2	If the Test Transaction is marked to be forwarded to the FBI, the ABIS **SHALL** automatically forward it as designated during the system design.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
TESTO-3	The ABIS **SHALL** ingest all responses received from the FBI and forward them to the appropriate device.				
TESTO-4	The AFIS **SHALL** update the transaction log with the processing results.				

Administrative tasks will start with a system administrator logging into a workstation connected to the ABIS. The system administrators will deal with system error messages, assist in recovering from problems, and generate problem reports via e-mail, 24/7 help desk calls, or other means.

The system administrator requirements are listed in the following table.

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
ADMF-1	The ABIS **SHALL** permit the system administrators to selectively set up and manage at least 10 classes of users (e.g., latent supervisor) with configurable permissions per class.				
ADMF-2	The ABIS **SHALL** support the system administrator in assigning workflows and within workflows specific TOTs to default priority queues – with up to 9 priorities to conform to the ANSI/NIST Standard for Field 1.006: *"The values shall range from "1" to "9", with "1" denoting the highest priority. The default value shall be defined by the agency receiving the transaction."*				
ADMF-3	The ABIS **SHALL** support the system administrator in maintaining and changing Thresholds 1, 2, 3, and 4 as appropriate.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
ADMF-4	The ABIS **SHALL** support the system administrator in maintaining and changing QC thresholds for tenprints and separately for palmprints.				
ADMF-5	The ABIS **SHALL** support the system administrator in maintaining and changing default candidate lengths for verification, separately for tenprints, LIs, and TLIs.				
ADMF-6	The ABIS **SHALL** support the system administrator in maintaining and changing a selectable second-level verification per International Standards Organization (ISO) standards.				
ADMF-7	The ABIS **SHALL** support the system administrator in selectively reviewing and printing the ABIS logs – reviewing and printing may be organized by any or all of the following: time, date, user, transaction type, file-accessed name, device logged into, problem reports, transaction control number, and transaction results.				
ADMF-8	The ABIS **SHALL** enable the system administrator to selectively back up IT, biographic, ANSI/NIST archive, and forensic files at all system levels from workstations to the ABIS.				
ADMF-9	The ABIS **SHALL** support the system administrator in selectively restoring IT, biographic, ANSI/NIST Archive, and forensic files.				
ADMF-10	The ABIS **SHALL** allow the system administrator to selectively ingest any supported transactions, individually or in bulk, and process them as appropriate to the TOT.				
ADMF-11	The ABIS **SHALL** permit the system administrator to selectively cancel programs that are not responding and restart any program or computer.				
ADMF-12	The ABIS **SHALL** support the forensic system administrator in selectively exporting "known" files in bulk or individually.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
ADMF-13	The ABIS **SHALL** support the system administrator in selectively exporting "unknown" (latent) files in bulk or individually.				
ADMF-14	The ABIS **SHALL** support the systems administrator in preparing selective reports for, at a minimum, selectable (1) time periods (2) classes of services, and on use patterns of the ABIS and aggregating those reports so they can be edited, merged with other reports, and printed.				
ADMF-15	The ABIS **SHALL** support automated logging and system administrator selective reporting on the following information: ● Use by time, person, functionality, etc. ● Viruses encountered – at the device level. ● All events associated with unsuccessful login attempts, at the device level.				
ADMF-16	The ABIS **SHALL** support automated logging and system administrator selective reporting on the following information: ● Disk memory used, free, and as-built totals by system and component: 　» ANSI/NIST Archive. 　» Temporary files. 　» The LCMS. ● Matcher memory used, free, and totals by system, by component, and by modality (e.g., reverse palm search matchers).				
ADMF-17	The ABIS **SHALL** support automated logging and system administrator selective reporting on the following information: ● A record of abnormal shutdown of any computer, along with any available diagnostics. ● Number and percentage of transactions by class that failed/passed parser and image quality checks.				

ID	Requirement	Current Capability or Configurable Item	Future Release	Custom Development	Not Available
ADMF-18	The ABIS **SHALL** support automated logging and system administrator selective reporting on the following information: ● NFIQ scores by finger, TOT, ORI, and/or time.				
ADMF-19	The ABIS **SHALL** support automated logging and system administrator selective reporting on the following information: ● Number of transactions, searches by class, hit rate by class, hit rate by TOT, error rate in processing transactions, and current size of each repository to include available space, selectively for one or more system elements, or the entire ABIS.				
ADMF-20	The ABIS **SHALL** support the selective production of reports from all workflows and administrative functions to a specified color or gray-scale printer; to a file using comma-separated format for future use to include editing and merging with other such files; and saving reports as an Adobe Portable Data Format (PDF) file; to include the list of reports that follows this table.				
ADMF-21	The ABIS **SHALL** offer ABIS management the ability to easily track, monitor and produce reports on the types of tenprint, latent, and administrative activities listed below this table.				
ADMF-22	The ABIS **SHALL** permit administrators to design their own report formats from pull-down menus.				
ADMF-23	The ABIS **SHALL** permit administrators to synchronize system time across all ABIS elements that have or use time clocks (e.g., servers, workstations, and logs).				
ADMF-24	The ABIS **SHALL** permit administrators to select auto synchronization of system time across all ABIS elements that have or use time clocks (e.g., servers, workstations, and logs) on a selectable frequency (between 6 hours and 24 hours).				

The following types of reports are associated with ADMF-20:

- Transactions processed on ABIS to include ability to select from the following display options *by workflow and TOT*:

  » Number of transactions received and processed.

  » Number of hit/no hit transactions.

  » Number of transactions sent to the FBI (and other national databases), number of responses received, percentage of responses that were hits.

  » Number of transactions by day/week/month/quarter/year and average hour versus peak hour.

  » Number of transactions processed by crime type.

  » Selectable date ranges.

The ABIS shall support the latent examiners and system administrators in selectively reporting on latent case management status over the life of the system or any selected shorter period of time to include at a minimum:

- Number of open and closed cases.
- Number of cases closed due to a match.
- Expiration of associated data due to statute of limitations or other reasons.
- Average number of latent images per open case.
- Maximum number of latent images per case.
- Percentage of capacity used at various levels.
- Number of cases within 90, 60, and 30 days of eclipsing their associated statute of limitations.
- Average number of minutiae per latent finger or palm.
- Maximum and minimum number of minutiae per latent finger or palm.
- Number of searches executed.
- Average number of searches executed per latent image.

In addition, the ABIS will allow the ABIS system administrator to generate reports on capacities and sizes to include, by selectable date:

- Criminal, ID slaps, and/or tactical submissions by:

  » Number of individuals in databases and/or archives by tenprint, known palms, unknown palms, and unsolved latent records.

  » Number of fingers in databases and/or archives by tenprint, known palms, facial images, and unsolved latent records (fingerprints and palmprints).

  » Sex of individuals in databases and/or archives by tenprint, known palms, and facial images.

  » Average image quality (using NFIQ and vendor metrics) for rolled fingerprints and flats for

       databases or archives by finger and averaged across both hands.

- For databases, archives, and matchers:
    » Sizes and usage by selectable date.
    » Capacity available by selectable date.
    » Projected need for additional capacity by date.
- Administrative reports for each ABIS matcher, to include at a minimum:
    » Matcher number and name – types of data contained in the matcher.
    » Number of individuals enrolled in each matcher.
    » Number of individuals with one record, two records, or three records in the matcher.
    » Average minutiae per record.
    » Average NFIQ score per finger per image.
    » Average compression rates per image.
- Administrative reports for all of ABIS reflecting the following information, at a minimum:
    » Number of persons authorized to access the ABIS.
    » Number of persons who have administrator access.
    » Number of persons who have tenprint access.
    » Number of persons who have latent print access.
    » Number of Livescans.
    » Number of ORIs.
    » Number of workstations (by type).

Attachment D – Current AL AFIS Environment and Workflows

Current AFIS System

The current AFIS system is the Integra-ID system by NEC Corporation of America. The current installation was performed in January 2011.

AFIS Records

The current number of records, as of 2018:

- Tenprint – 2,329,704
- Palm Prints – 402,229
- Latents – 12,821
- Unsolved Latents – 12,821
- Mugshots – 3,108

Current records, by type, as of 2017:

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

Current Design Capacity:

- 2,700,000 prints

AFIS Processing:

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

AFIS Contributors

Ref.	Arrest Segment Contributor Agency Type	Agencies
1.	Sheriff's Departments (Statewide)	67
2.	Local or Other Police Departments	351
3.	Highway Patrol/Investigations Stations (Statewide)	0*
	Total Arrest Contributing Agencies	**418**

*Highway Patrol/Investigative Stations do not report arrest nor contribute fingerprints to the repository.

Connections:

- Livescans - 120 active livescans during the last month
- Latent Workstations – 11
- Tenprint/Review Workstations – 12
- Archive Doc Scanning Workstations – 4

Interfaces:

- FBI
- Computerized Criminal History (CCH)
- LEA Livescans
- Huntsville PD AFIS
- Mobile SO AFIS

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
CCH		
1	Message Switch	CPI Open Fox
2	Client for NCIC	CPI Messenger
3	CCH Repository	CPI Open Fox

ALEA Workflows

High-level workflow diagrams for some ALEA processes are included below.

ALEA Network Diagram

A high-level ALEA Operations network diagram is included below. It provides a basic overview of the ALEA technical environment.

Attachment E – Vendor References Form

For each of the references checklist items 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	
	SIB or Other (provide details)	
	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	
	SIB or Other (provide details)	
	System/Solution Installed	
	Year Contracted/Duration	
	Total Contract Value	
	System/Solution Accepted?	
	Agency Contact Name and Title	
	Contact Telephone Number	
	Contact E-Mail Address	
3.	Name of Agency	
	Location of Agency, City/State	
	SIB or Other (provide details)	
	System/Solution Installed	
	Year Contracted/Duration	
	Total Contract Value	

Reference Checklist	
System/Solution Accepted?	
Agency Contact Name and 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 AFIS/ABIS 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 biometric identification 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 biometrics research and development.	
14	State and type of incorporation.	
Personnel		
Total number of FTEs in the following AFIS/ABIS business areas:		
15	Customer user support.	
16	Customer technical support.	
17	Research and development.	
18	Project management.	

Ref.	Information Requested	Provider Response
19	Project implementation and rollout.	
Total person years of AFIS/ABIS 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, 24×7)?	
29	How is after-hours support provided?	
30	How are support calls classified and prioritized?	
31	How are support calls escalated in an emergency?	
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)?	

Ref.	Information Requested	Provider Response
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 sections of this cost response form for their proposed system solution.

Complete ABIS Solution Service Hosted at Vendor selected site; including responsibility for network connectivity between the primary and DR/COOP sites (if option is selected) to a central network point of presence in Alabama (ALEA-Montgomery).

Base Contract Price

Provide the **annual** price for the base 6-year hosted service contract. $_____

Annual price *including* option to include full Active/Active DR/COOP solution. $_____

Contract Extension Options

Provide prices for each and all four of the following separately priced contract extension options:

- 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. $_____

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. $_____

Fixed Hourly Rate

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 SOW:

$_____