

**REQUEST
FOR
PROPOSAL
NO. 2016-01**

**Alabama Department of Corrections
Risk Assessment Automation**

**Alabama Department of Corrections
Office of the Commissioner
301 South Ripley Street
Montgomery, AL 36104**

October 11, 2016

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SECTION I

INTRODUCTION

The Alabama Department of Corrections (“ADOC”) announces this Request for Proposal (“RFP”) to all eligible and interested parties for the opportunity to submit a proposal to provide automation software for the Women’s Risk Needs Assessment (“WRNA”) tool and the Ohio Risk Assessment System (“ORAS”). You are invited to submit a response in accordance with the requirements specified in this RFP. All proposal requirements are laid out in Section V of this RFP.

The ADOC intends to utilize gender responsive Assessment Tools, specifically WRNA for female inmates and ORAS for male inmates, as part of the classification scheme for its inmate population. Currently, the ADOC has in its custody approximately twenty-four thousand (24,000) inmates. Of that population, roughly eight thousand (8,000) inmates enter and eight thousand (8,000) are released from the ADOC on an annual basis. It is believed that automation software is the most efficient and cost effective method for approximately one thousand (1,000) users to complete these Tools. The ADOC wishes to secure a contract with a certified Vendor to develop software to provide automation of the WRNA and ORAS Risk Assessment Tools.. It is the intention of the ADOC to have functioning automation of WRNA by Spring of 2017, and ORAS thereafter.

Proposals to provide these services must be received in the ADOC Commissioner’s Office by **4:00 p.m., Central Standard Time, on November 14, 2016.**

1.1 Purpose of RFP

The purpose of this RFP is to secure a contract with a qualified Vendor to develop, install, implement, provide training in, and maintain software to automate the WRNA and ORAS Assessment Tools. The contracting period will be for an initial two (2) year period with renewal options available. The contract shall not to exceed a total of five (5) years.

1.2 Definitions

“ADOC,” “DOC,” or “Department” - the Alabama Department of Corrections.

“Assessment Tool” or “Tool” - used for the evaluation of factors that predict an inmate’s risk of future criminal behavior, measures criminogenic needs to reduce the risk, and identifies an offender’s assets/strengths. For the purposes of this RFP, this term is used to describe either WRNA and/or ORAS. Additional information regarding WRNA and ORAS may be found at https://www.uc.edu/corrections/services/trainings/offender_assessment.html.

Authorized Representative - any person or entity duly authorized and designated in writing to act for, and on behalf of, the Vendor in negotiating or executing any resulting contract.

Business Hours - for the purposes of this RFP, Monday through Friday, excluding holidays recognized by the State of Alabama, 8:00 am through 5:00 pm, CST.

Employee/Staff - any person employed by the ADOC as a full time, part time, conditional or temporary employee, and all other persons such as contractors, authorized service providers, vendors, and volunteers in the classified and unclassified service.

Inmate - person who has been sentenced to the custody of the ADOC.

RFP - this Request for Proposal, together with all attachments, amendments, and addenda thereto.

State - the State of Alabama or the Alabama Department of Corrections; these terms may be used interchangeably.

Selected Vendor - any qualified corporation, legal entity, or individual chosen by the ADOC to negotiate a contract. The singular or plural form of this term may be used interchangeably.

Software - for the purposes of this RFP, refers to the product to be provided by Vendor.

Vendor - any corporation, legal entity, or individual that responds to this RFP. The singular or plural form of this term may be used interchangeably.

1.3 Responsibility to Read and Understand

By responding to this solicitation, 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. If Vendor suspects an error, omission, or discrepancy in this solicitation, or if Vendor has questions regarding the RFP, Vendor must notify Ms. Katherine Jessip, ADOC's Single Point of Contact, **by 4:00 p.m. CST on October 24, 2016**, as provided in Sections 5.1(c) and 5.7 of this RFP. The ADOC will issue written instructions, if appropriate, by close of business October 31, 2016. The written responses will be posted to the ADOC website, at www.doc.alabama.gov, as well as the RFP Database maintained by the Alabama State Comptroller at <http://rfp.alabama.gov/PublicView.aspx>.

1.4 Reservations

The ADOC reserves the following rights: (1) to reject all proposals; (2) to reject individual proposals for failure to meet any requirement; and (3) to waive minor defects. The ADOC may seek clarification of the proposal from Vendor at any time, and failure of the Vendor to respond is cause for rejection. Clarification is not an opportunity to change the proposal. 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 ADOC only and is to provide the ADOC 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 ADOC and made to favor the State.

1.5 Cost of Preparation

The ADOC is not responsible for, and will not pay any costs associated with, the preparation and submission of Vendor's proposal, regardless of whether or not Vendor is selected for

negotiations. Any costs associated with any oral presentations to the ADOC will be the responsibility of Vendor and will in no way be charged to the ADOC.

1.6 Vendor Contact

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

1.7 Opening Date

Vendor proposals will be opened on **November 15, 2016, at 10:00 a.m.** in the ADOC Commissioner's Conference Room located at 301 South Ripley Street, Montgomery, AL 36104. At the scheduled place and date for the proposal opening, the names of Vendors who submitted proposals will be announced.

1.8 Evaluation and Selection

The ADOC will evaluate all proposals using the criteria outlined in Section 5.9, Evaluation Criteria, and make a recommendation to the Commissioner of the ADOC who will make the final selection.

1.9 Cost of the Resulting Contract

The total cost of the contract shall be a fixed fee, and at no time shall it exceed the total cost quoted by Vendor in its proposal. The total price of the contract will include all costs of development, implementation, and maintenance of the Software provided by Selected Vendor pursuant to this RFP.

1.10 Contract Negotiations

Selected Vendor may be required to enter into contract negotiations if the ADOC believes such is necessary or desirable. If an agreement cannot be reached to the satisfaction of the ADOC within thirty (30) days of notification of intent to negotiate, the ADOC may reject Selected Vendor's proposal or revoke the selection and begin negotiations with the next Selected Vendor.

1.11 Entire Agreement

The resulting contract shall include the provisions in this RFP and any addendum or attachments thereto and may include the relevant portions of the Selected Vendor's proposal that are expressly agreed upon and adopted by the ADOC. Any proposed changes, as well as the final contract, must be approved and signed by the appropriately authorized State and ADOC officials.

1.12 Communications

- a) From the date of receipt of notice of this RFP until a binding contractual agreement exists with Selected Vendor, or at such time as the ADOC rejects all proposals, informal communications shall cease. Informal communications shall include, but will not be limited to, requests or communications from any Vendor to any facility, division, or employee of the ADOC, with the exception of the ADOC's Single Point of Contact, for information, comments, or speculation.

- b) From the date of receipt of this RFP until a binding contractual agreement exists with Selected Vendor, or at such time as the ADOC rejects all proposals, all communications between the ADOC and the Vendors will be formal, as provided in this RFP or as requested by the ADOC. Formal Communications shall include, but will not be limited to:
 - 1) Written Requests for Clarification/Information, consistent with Sections 5.1(c) and 5.7;
 - 2) Oral Presentations; or
 - 3) Negotiations.
- c) All formal inquiries for information should be directed to the Single Point of Contact, Ms. Katherine Jessip, by email at katherine.jessip@doc.alabama.gov, and include in the subject line “RFP 2016-01: Risk Assessment Automation.”
- d) Failure to comply with this provision could result in disqualification of Vendor from continuing in this process.

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SECTION II

GENERAL TERMS AND CONDITIONS

2.1 Proposal Conditions

- a) By signing a proposal, Vendor agrees to be bound by all terms and conditions of the RFP. Any exceptions to the specified terms and conditions must be clearly set forth within Vendor's proposal and are subject to the acceptance of the ADOC.
- b) All vendor proposals will remain firm and unaltered for ninety (90) days after the proposal due date shown or until the contract is fully executed with any Vendor, whichever is earlier. An exception to the criterion will be if the Vendor is engaged in contract negotiations, then that Vendor will be allowed to make proposal modification(s) only in accordance with a request by the ADOC.
- c) Vendor's provision of services must comply with any requirements or standards as may be defined in Administrative Regulations, directives, policies, and procedures of the ADOC.
- d) If any requirement of the RFP exceeds any requirements or standards as may be defined in Administrative Regulations, directives, policies, and procedures of the ADOC, the requirements of the RFP will prevail. Any exception to this requirement must be specified in the resulting contract, or through a subsequent written mutual agreement, and must be signed by the authorized representatives of Selected Vendor and the ADOC.
- e) The State of Alabama may make such reasonable investigations as deemed proper and necessary to determine the ability of Vendor to perform the services, 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 fail to satisfy the State that such Vendor is properly qualified to carry out the obligations of the awarded contract and to provide the services contemplated therein.
- f) Vendors may be asked to submit further financial information to prove financial responsibility. Any such financial responsibility documents will be kept confidential if a "REDACTED" copy is also submitted, as provided in Section 5.2(c)(4), unless otherwise required by law.
- g) Upon the award of, or the announcement of the decision to award, a contract, the ADOC will inform the Selected Vendor in writing.
- h) Only the final results of the ADOC Evaluation Committee may be considered public. Any work papers, individual evaluator or consultant comments, notes, or scores are not open.
- i) The ADOC reserves the right to modify the requirements of the RFP or the resulting contract by: (1) changing the operational requirements or time frames; (2) adding or deleting tasks to

be performed or equipment to be provided; and/or (3) making any other modification deemed necessary by the ADOC.

- j) Any changes in Vendor's proposed program or pricing in response to an ADOC request, as provided in Section 2.1(i), are subject to acceptance by the ADOC. In the event price changes or proposed service changes in response to an ADOC request are not acceptable to the ADOC, Selected Vendor's pre-award status may be rescinded. At the option of the ADOC, another selection for pre-award may be made from the Vendors that submitted a proposal, or the ADOC may open the process to re-negotiations based upon the new specifications.
- k) Deadlines and other critical dates in this RFP have been provided in Attachment D. For any discrepancies between Attachment D and the dates included in this RFP, Attachment D will prevail. Failure to strictly adhere to these deadlines and other critical dates may result in disqualification of Vendor.

2.2 Other General Terms

- a) The resulting contract will be comprised of this RFP, relevant portions of the Selected Vendor's proposal that are expressly adopted by the ADOC, and any changes or modifications made during the negotiation process. The contract, including any attachments, will constitute the entire contract between Selected Vendor and the ADOC. The executed contract and any renewal 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 the ADOC to be binding. Amendments or modifications may also be subject to review and approval, in accordance with State Law.
- b) No interpretation of any provision of the RFP or the resulting contract, including applicable specifications, is binding on the ADOC unless furnished or agreed to in writing by the ADOC.
- c) The length of the contract shall be two (2) years with three (3) mutually agreed upon one (1) year renewal options. The total contract, including any renewal, may not exceed five (5) years. If the commencement of performance is delayed because the ADOC does not execute the contract on the start date, the ADOC may change the start date, end date, and milestones to reflect the delayed execution.
- d) The ADOC will not be liable to pay Vendor for any supplies provided, services performed, or expenses paid related to the contract incurred prior to the beginning of, or after the ending of, the term of the contract.
- e) Any work or service performed on State premises will be done through coordination with the Warden of each facility or Director of each Division and will, in any event, be performed so as to minimize inconvenience to the ADOC and its personnel and minimize interference with the operation of the ADOC.

- f) Selected 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 imposed by other governmental entities so authorized.
- g) Vendor covenants that it has disclosed to the ADOC, and agrees it is under a continuing obligation to disclose, financial or other interests (public or private, direct or indirect) that may be a potential conflict of interest or that may conflict in any manner with Vendor's obligations under the resulting contract. Vendor covenants that it will not employ any person with a conflict to perform under the resulting contract. Vendor further covenants that no person has an interest in Vendor or in the contract that would violate Alabama law.
- h) A contract shall not be assignable by Vendor, in whole or in part, without the written consent of the ADOC. Any agreement to assign any portion of the Agreement shall not constitute a waiver by the ADOC to consent to any subsequent assignments.
- i) Selected Vendor shall be an independent contractor. Selected Vendor, its agents, sub-vendor(s), and employee(s) will not be considered to be agent(s), distributor(s), or representative(s) of the ADOC. 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 the ADOC or under the Alabama State Merit System Act.
- j) Selected Vendor, who executes the awarded contract for service, is contractually responsible for the total performance of the contract. Subcontracting may be allowable at the sole discretion of the ADOC, but must be disclosed as a part of the proposal or otherwise approved in advance by the ADOC. Any approval by the ADOC of any subcontract or subcontractor shall not constitute a waiver by the ADOC to consent or approve any other subcontract or subcontractor. Any subcontract shall be subject to the following conditions:
 - 1) Any sub-vendor providing services required in the RFP or in the awarded contract will meet or exceed the requirements set forth in the RFP.
 - 2) The ADOC will not be bound to any terms and conditions included in any Vendor or sub-vendor documents. No conditions in sub-vendor documents in variance with, or in addition to, the requirements of the RFP or the awarded contract will in any way affect Selected Vendor's obligations under the contract resulting from this RFP.
- k) Selected Vendor will remain fully responsible for the negligent acts and omissions of its agents, employees, and/or sub-vendors in their performance of Selected Vendor's duties under the resulting contract. Selected Vendor represents that it will utilize the services of individuals skilled in the profession for which they will be used in performing services hereunder. In the event that the ADOC determines that any individual performing services for Selected Vendor is not providing such skilled services, the ADOC will promptly notify Selected Vendor and Selected Vendor will replace that individual.
- l) Selected Vendor, or its employees who perform services requiring a license or certification, will have and maintain said required licenses or certifications.

- m) If Selected Vendor is unable to secure or maintain individuals named in the contract to render the services set forth in the contract, Selected Vendor will not be relieved of its obligations to complete performance. The ADOC, however, will have the option to terminate the contract upon written notice to Selected Vendor.
- n) Upon request, Selected Vendor will meet with the ADOC for the purpose of reviewing Selected Vendor's performance under any resulting contract. Selected Vendor will be asked to explain deviations, discuss problems, and mutually agree upon a course of action to improve the execution of the resulting contract.
- o) Selected Vendor will consult with, and keep the ADOC fully informed as to the progress of, all matters covered by the resulting contract. Selected Vendor will promptly furnish the ADOC with copies of all correspondence and documents prepared in connection with the services rendered under the resulting contract. Upon request, Selected Vendor will arrange, index, and deliver all correspondence and documents to the ADOC.
- p) All documents, materials, or data developed as a result of work under the resulting contract will be the property of the ADOC. The ADOC will have the right to use and reproduce any documents, materials, and data, including confidential information, used in or developed as a result of Selected Vendor's work under the awarded contract. The ADOC may use this information for its own purposes. Selected Vendor is required to have the rights to utilize any documents, materials, or data provided by Selected Vendor to fulfill requirements of the RFP. Selected Vendor will keep confidential all documents, materials, and data prepared or developed by Selected Vendor or supplied by the ADOC.
- q) Selected Vendor will supply all billings, records, evidence of services performed, or other documents as may be required for review and audit by the ADOC. Licensed materials, used as a part of fulfilling the requirements of the awarded contract, will be considered a trade secret to Licensors, provided that such materials are marked as confidential or in such a way that the ADOC can reasonably determine that they are licensed.
- r) Selected Vendor and its sub-vendors will maintain books and records related to the performance of the contract or subcontract and necessary to support amounts charged to the ADOC in accordance with applicable law, terms and conditions of the contract, and generally accepted accounting practices. Selected Vendor will maintain these books and records for a minimum of three (3) years after the completion of the contract, final payment, or completion of any contract audit or litigation, whichever is later. All books and records will be available for review or audit by the ADOC, its representatives, and other governmental entities with monitoring authority upon reasonable notice and during normal business hours. Selected Vendor agrees to cooperate fully with any such review or audit. If any audit indicates overpayment by the ADOC, Selected Vendor will immediately remit all amounts that may be due to the ADOC. Failure to maintain the books and records required by this Section will establish a presumption in favor of the ADOC for the recovery of any funds to the ADOC under the contract for which adequate books and records are not available to support the purported disbursement.
- s) If any term or condition of the contract is declared void, unenforceable, or against public policy, that term or condition will be ignored and will not affect the remaining terms and

conditions of any resulting contract, and such contract will be interpreted as far as possible to give effect to the parties's intent.

- t) Changes can be made to any contract in any of the following ways:
 - 1) The parties may agree in writing to modify the scope of the contract. An increase in the price or extension of time of the contract resulting from such modification or extension shall be agreed to by the parties as a part of their written agreement to modify the scope of the contract and subject to the process set forth in Section 2.2(a).
 - 2) The ADOC may order changes within the general scope of the contract at any time by written notice to Selected Vendor. Changes within the scope of the contract include, but are not limited to, number of users or deadlines. Selected Vendor shall comply with the notice upon receipt. Selected Vendor shall be allowed to adjust pricing to compensate for any additional costs or savings incurred as the result of such order. Said compensation shall be determined by mutual agreement of the parties in writing, and may be subject to the provisions of Section 2.2(a).
- u) It is agreed that the terms and commitments contained herein shall not be constituted as a debt of the State of Alabama in violation of Article 11, Section 213, of the Constitution of Alabama 1901, as amended by Amendment No. 26. For any and all monetary disputes arising under the terms of this RFP or the resulting contract, the Selected Vendor's sole remedy is to file a claim with the Board of Adjustments for the State of Alabama. For any and all other disputes, the parties hereto agree, when considering settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation.
- v) The ADOC may terminate any contract resulting from this RFP without penalty to the ADOC, or further payment required, in the event of:
 - 1) Any breach of the contract that, if susceptible of being cured, is not cured within fifteen (15) days of the ADOC giving notice of breach to Selected Vendor including, but not limited to, failure of Selected Vendor to maintain covenants, representations, warranties, certifications, bonds, and insurance;
 - 2) Commencement of a proceeding by or against Selected Vendor under the United States Bankruptcy Code or similar law, or any action by Selected Vendor to dissolve, merge, or liquidate;
 - 3) Material misrepresentation or falsification of any information provided by Vendor in the course of any dealing between the ADOC and Vendor or between Vendor and any State agency, to include information provided in Vendor's proposal;
 - 4) For the unavailability of funds appropriated or available to the ADOC; and,
 - 5) For convenience of the ADOC.
- w) Should Selected Vendor at any time during the course of a resulting contract: (1) fail to perform the services according to the specifications required in the RFP; (2) fail in any

respect to perform the service requirements of the RFP with promptness and diligence; or (3) fail in the performance of any agreement contained in the awarded contract, the ADOC will have the option, after forty-eight (48) hours written notice to Selected Vendor by registered mail, return receipt requested, to Vendor's point of contact, to take any one or more of the following actions:

- 1) Withhold any monies then or next due to Selected Vendor;
 - 2) Provide such materials, supplies, equipment, and labor as may be necessary to complete said work, and bring the rendition of the services up to the specification and standards required in the RFP or awarded contract and pay for same. Selected Vendor will immediately remit the amount so paid upon presentation of documentation from the ADOC; or
 - 3) Terminate the contract, consistent with Sections 2.2(v) and 2.2(x).
- x) The ADOC reserves the right to cancel and terminate any resulting contract, in part or in whole, without penalty, upon thirty (30) 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 this RFP.
- y) If the ADOC terminates for convenience, the ADOC will pay Selected Vendor for services satisfactorily provided and for authorized expenses incurred up to the time of termination.
- z) Any notice given to the ADOC under the resulting contract will be submitted in a timely manner. Notices will be mailed to the Alabama Department of Corrections, Attn: General Counsel, 301 South Ripley Street, Montgomery, Alabama 36104, or P.O. Box 301501, Montgomery, Alabama 36130. Notices to Selected Vendor will be mailed to the address shown in its submitted proposal, unless otherwise specified in the resulting contract. Notices will be sent by registered mailed, return receipt requested.
- aa) Parties agree to fully cooperate with one another for the successful pursuit of their respective and mutual interests. Parties will share information and provide timely notification to one another in the event of a claim against either party. There will be no settlement of any claim arising out of the performance of the resulting contract by Selected Vendor without consultation of the ADOC.

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SECTION III

STATEMENT OF WORK

3.1 Services to be Provided

Vendor shall develop and implement automation Software for the Assessment Tools as well as train end users and provide maintenance as further provided herein.

3.2 Automation Software

At a minimum, the Software shall:

- a) Provide complete automation of the Assessment Tools. The automation must, at a minimum:
 - 1) allow selection of pre-identified values and free-text responses (open-ended);
 - 2) be able to tabulate values selected/responses to a variety of questions and categorize responses for future aggregating and sorting;
 - 3) provide for means of capturing response values and categorizing/sorting responses into pre-identified groups based on the responses and criteria in the Tool; and
 - 4) provide static description and instructions (redundant for each inmate) provided in the Tool for instrument completion.
- b) Assess risk factors, needs, and strengths of each inmate based upon the criteria in the Tool.
- c) Provide a case management planning component for each inmate based upon the criteria in the Tool. The case management portion must:
 - 1) allow for recording interventions, objectives, and goals;
 - 2) track progress of offender;
 - 3) allow techniques used by individual case managing the offender;
 - 4) allow a progress review to be provided; and
 - 5) allow for recording of updated information over time.
- d) Provide the ability to reassess an inmate to generate an updated case management plan as needed.
- e) Vendor should indicate whether the Software is able to provide notifications of the need for a reassessment or update of a case management plan based on pre-determined criteria (for example, successful completion of a program).

- f) Information on individual inmates must be retrievable by entering a unique identifier.
- g) Allow for access to individual records that have been maintained with integrity on the system and modification of that information as necessary.

3.2.1 Validation and Reports

- a) The Software must provide empirical statistical data to support validation capability.
- b) Describe types of reports available.
- c) At a minimum, the Software should allow for customizable reporting capability.
- d) Vendor should address what reports can be available to provide override statistics. In case of overrides, written justification will be required or available, and the Software must provide the ability to free type the comments

3.2.2 Adaptability

- a) The Software must be suitable for use at each system point within the ADOC. System points include, but are not limited to, intake, reclassification, and community reentry. Vendor should explain how the Software is suitable in its proposal.
- b) The Software must allow for standard data feed protocols such as .XML or API's. The information from the Software must be able to be electronically shared with all state and local agencies. Explain how the Software will accomplish this task.
- c) The Software must be compatible with existing automated databases within the ADOC that run on a SQL server.
- d) Vendor should explain whether information received from other state and local agencies can integrate with the instrument (for example, conviction, pre-sentence investigation, prior assessments). Describe how this integration will occur and the required format of received information. Describe what experience Vendor has in integrating with other instruments and databases.

3.2.3 Implementation and Training

- a) The instrument is designed so that usage by the end user is intuitive and extensive technical computer knowledge and maintenance is not required by the general user.
- b) A training strategy that includes software use and support must be provided. At a minimum, the strategy should include a video and a training manual. All training materials must be provided by Vendor and included in the total cost.

3.3 Technical Requirements

- a) The proposed software must be available to handle transactions seven (7) days per week, twenty-four (24) hours per day, three hundred and sixty-five (365) days per year with the exception of pre-scheduled down time during off-hours for routine system back-ups, maintenance, and upgrades.
- b) All scheduled changes/outages should only occur outside of normal Business Hours. A notice of scheduled maintenance is published at least forty-eight (48) hours in advance via the system website. The ADOC must be notified of all planned outages and must give approval to any outage outside the scheduled change window. The Vendor must provide monthly uptime reports to the ADOC for all components of the system.
- c) Vendor must have documented change management policy and procedures in place. **A copy should be provided with the proposal.**
- d) All Software installations and upgrades of any product will be the responsibility of the Vendor. The ADOC must be notified of all future upgrades and modifications to the application.
- e) The Software must provide a secure web-based entry to provide access to users at any location. Minimum browser requirements must be supported by the most current browser versions (i.e. IE10, FireFox, Chrome, Safari).
- f) The Software must run on a web-enabled platform using current SSL practices, 3.0 or later, to ensure secure transactions.
- g) The Software must be able to run on Microsoft Windows Server 2012 or above.
- h) Vendor's reporting services should be equal or comparable to Crystal Report 2008 or a SQL server reporting service.
- i) The Software must be accessed from Windows 10 or any newer version.
- j) Specify the amount of storage space is necessary to meet the needs described.
- k) The Software must be able to support one thousand (1,000) users.
- l) The Software must allow for role-based access within the ADOC. Explain what role-based access is available.
- m) The Software must support all record maintenance functions associated with database management systems. Users with proper access rights will be able to create, read, update, delete, re-index/reorganize records from the system. The document must be capable of being electronically uploaded to the ADOC's electronic content management system. Currently, the ADOC utilizes Laserfiche.
- n) The Software data is in relational format for ease of integration.

- o) A detailed explanation of the software licensing requirements of the system in total must be provided by the Vendor as part of its proposal. Include, at a minimum, an explanation of all of the following that apply: end-user licensing, software module licensing, concurrent user licensing, per-user licensing, per-seat licensing, perpetual per-server licensing, license maintenance, third-party software licensing, and other licensing requirements. Vendor will be solely responsible for acquiring and maintaining any licensing agreements under the resulting contract.

3.3.1 Technical Support

- a) Vendor must provide technical support during normal Business Hours for ADOC Information Systems personnel for technical problems with calls received from technical and program staff, not from end users, to assist with problem analysis and provide instructions for troubleshooting problems.
- b) Vendor's Help Desk must provide a published escalation policy for problems that cannot be resolved by first-line Vendor Help Desk personnel.
- c) Emergency contact must be available during all non-business hours with a twenty-four (24) hour response time seven (7) days a week.
- d) Explain how the defect tracking process works and the average time to resolution of a defect.

3.3.2 Data Recovery

Vendor must provide information on how the application will be timely recovered in the event of a disaster. Recovery installation of the software is the responsibility of the Vendor. In responding to this Section, Vendor should provide a time frame for disaster recovery.

3.3.3 Auditing and Security

- a) The Software must maintain an audit trail of all database transactions (add, change, delete) identifying the individual performing the transaction, the date and the time, and the original data in instances where changes are made.
- b) Users of the Software with the appropriate security must be able to view and print an audit report to identify any changes to the records, who changed the record, and when the change occurred.
- c) Vendor must perform an annual security audit, including a vulnerability assessment. Prior to deployment and annually, Vendor shall provide the Agency with reports regarding security testing.
- d) Vendor must have a documented security incident policy and procedure. **Vendor must provide a copy with its proposal.**

- e) Provide assurance of confidentiality of Agency data and have policies, procedures, and processes in place to ensure confidentiality of data. **Vendor must provide a copy with its proposal.** At a minimum:
- 1) The system must meet HIPAA compliance rules.
 - 2) Vendor must have measures in place to ensure the confidentiality of Personally Identifiable Information (“PII”). Clearly identify measures that ensure the confidentiality of PII. PII includes, but is not limited to, the following: (a) names of “free world” individuals, who are neither an employee of or inmate in the custody of the ADOC; (b) a home or other physical address, which includes at least a street name and name of city or town; (d) a telephone number; (e) Social Security number; (f) date of birth; or (g) driver’s license number.
- f) With the bid, Vendor must provide a list of all employees or contractors who have administrative privileges or can access the data. All employees must pass a background check prior to having administrative privileges or access to the data.

3.3.4 Ownership and Migration of Data

- a) Vendor agrees that the State of Alabama is the owner of all data maintained on these systems.
- b) Prior to completion or termination of the contract, Vendor must take all necessary measures to assure that all data maintained has been migrated back to the ADOC in exportable tabular format with a data dictionary to any database on the SQL server.
- c) Vendor agrees to provide technical assistance transferring the data to a new or replacement system.
- d) After transfer of data back to the ADOC and / or migration of data to a new or replacement system, Vendor agrees to clear the State's data that resides on its computer software by erasing or wiping/sanitizing in a manner that prevents retrieval of electronically stored information. The following method shall be used to accomplish the clearing of data: (i) overwriting the previously stored data on a drive or a disk at least 10 times and (ii) certifying in writing that the overwriting process has been completed. Vendor will be required to certify in writing the method used including, but not limited to, the date and time of data destruction.

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SECTION IV

CERTIFICATIONS

4.1 Liability and Indemnification

- a) Vendor agrees to defend, indemnify, and hold harmless the State of Alabama, the ADOC, and their officers and employees from and against any and all loss or damage, including court costs and attorney fees, for liability claimed against or imposed upon the ADOC because of a bodily injury, death, or property damage, real or personal, including loss of use thereof, arising out of or as a consequence of the breach of any duty or obligation of Vendor included in this RFP or resulting contract, negligent acts, errors, or omissions, including professional error, fault, mistake, or negligence of Vendor, its employees, agents, representatives, or sub-vendors, their employees, agents, or representatives in connection with, or incident to, the performance of the resulting contract, or arising out of Worker Compensation claims, Unemployment Compensation claims, or Unemployment Disability Compensation claims of employees of vendor and sub-vendors, or claims under similar such law or obligations. Vendor obligation under this Section will not extend to any liability caused by the sole negligence of the ADOC or its employee(s).
- b) Vendor will provide legal representation in defending all such suits at its own expense. Vendor will pay all judgments and costs rendered against Vendor or Vendor's employees in said suits, including attorney's fees.
- c) Vendor will do nothing to prejudice the ADOC to recover against third parties for any loss, destruction, or damage to State property, and will, upon request of the ADOC and at Vendor's expense, furnish to the ADOC reasonable assistance and cooperation, including assistance in the prosecution of suit and the execution of instruments of assignment in favor of the ADOC, in obtaining recovery.
- d) The ADOC assumes no liability for actions of Vendor and is unable to indemnify or hold Vendor harmless for claims based on the contract or use of Vendor provided supplies or services.

4.2 Insurance Coverage

Before signing the contract, Selected Vendor must file with the ADOC a certificate from Selected Vendor's insurer showing the amounts of insurance carried and the risk covered thereby. Selected Vendor must carry general liability insurance coverage with two hundred and fifty thousand dollars (\$250,000.00) combined single limit for personal injury and property damage that incorporates said coverage for all of Selected Vendor's employees and sub-vendors. This coverage is required to extend to services performed at the various facilities and institutions where services will be provided under the contract. Vendor will maintain a Professional Liability (errors & omissions) and Umbrella Liability Insurance with a limit not less than two hundred and fifty thousand dollars (\$250,000).

Before signing the contract, Selected Vendor must file with the ADOC a certificate from Selected Vendor's insurer showing the amounts of insurance carried and the risk covered thereby. Selected Vendor will also be required to provide a certificate naming the ADOC as an

additional insured prior to contract execution. Coverage required must include, but not be limited to, Comprehensive General Liability, Worker's Compensation, and Employee's Liability.

Selected Vendor will maintain public liability, casualty, and auto insurance in sufficient amounts to protect the ADOC from liability for acts of Selected Vendor and risks and indemnities assumed by Selected Vendor in accordance with State law. If Selected Vendor does not have minimum coverage for bodily injury – including two hundred fifty thousand dollars (\$250,000) per person and five hundred thousand dollars (\$500,000) per occurrence and, for property damage, one hundred thousand dollars (\$100,000) per occurrence – Selected Vendor must inform the ADOC and seek written permission for lesser coverage.

4.3 Bribery Convictions

Vendor certifies compliance, or agreement to comply, with the following legal requirement and that it is not barred from being awarded a contract or subcontract due to a violation of these requirements or an inability or unwillingness to comply with these requirements:

- a) No person or business entity will be awarded a contract or subcontract if that person or business entity:
 - 1) Has been convicted under the laws of Alabama, or any other state, of bribery or attempting to bribe an officer or employee of the State of Alabama or any other state in that officer's or employee's official capacity; or
 - 2) Has made an admission of guilt of such conduct that is a matter of record but has not been prosecuted for such conduct.
- b) No business will be barred from contracting with the ADOC as a result of the bribery conviction of any employee or agent of the business if the employee or agent is no longer employed by the business, and:
 - 1) The business has been finally adjudicated not guilty; or,
 - 2) The business demonstrates to the ADOC that the commission of the offense was not authorized, requested, commanded, or performed by a director, officer, or a high managerial agent on behalf of the business.
- c) When an official, agent, or employee of a business committed the bribery or attempted bribery on behalf of the business and pursuant to the direction or authorization of a responsible official of the business, the business will be chargeable with the conduct.

4.4 Felony Conviction

No person or business entity, or officer or director of such business entity, convicted of a felony is eligible to do business with the ADOC from the date of conviction until three (3) years after the date of completion of the sentence for such felony, unless no person held responsible by a prosecutorial office for the facts upon which the conviction was based continues to have any involvement with the business.

4.5 Inducements

Any person who offers or pays any money or valuables to any person to induce him/her not to submit a proposal on the RFP is guilty of a felony. Any person who accepts money or other valuables for not submitting a proposal on the RFP, or who withholds a proposal in consideration of the promise for the payment of money or other valuables, is guilty of a felony. Vendor certifies that it will not take part in any such conduct.

4.6 Reporting Anticompetitive Practices

When, for any reason, Vendor or a designee suspect collusion or other anticompetitive practice among any vendors or employees of the ADOC, a notice of the relevant facts will be transmitted to the Alabama Attorney General and the ADOC Commissioner's Office. This includes reporting any chief procurement officer, State purchasing agency, designee, or executive officer who willfully uses or allows the use of specifications, requests for proposal documents, proprietary competitive information, proposals, contracts, or selection information to compromise the fairness or integrity of the procurement or contract process, or any current or former elected or appointed State official or State employee who knowingly uses confidential information, available only by virtue of that office or employment, for actual or anticipated gain for themselves or another person.

4.7 Confidentiality and Use of Work Product

- a) Any documents or information obtained by Vendor from the ADOC in connection with this RFP or the resulting contract will be kept confidential and will not be provided to any third party unless the ADOC 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 the ADOC. 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 the ADOC in furtherance of performance of the resulting contract will remain the property of Selected Vendor. Selected Vendor grants to the ADOC a nonexclusive license to use and employ such software, ideas, concepts, methodologies, processes, inventions, and tools solely within its enterprise.
- b) Selected Vendor will, at its expense, defend the ADOC against all claims, asserted by any person, that anything provided by Selected Vendor infringes a patent, copyright, trade secret, or other intellectual property right and will, without limitation, pay the costs, damages, and attorney fees awarded against the ADOC in any such action, or pay any settlement of such action or claim. Each party agrees to notify the other promptly on any matters to which this provision may apply and to cooperate with each other in connection with such defense or settlement. If a preliminary or final judgment is obtained against the ADOC for its use or operation of the items provided by Selected Vendor hereunder, or any part thereof, by reason of any alleged infringement, Selected Vendor will, at its expense, either:
 - 1) modify the item so that it becomes non-infringing;
 - 2) procure for the ADOC the right to continue to use the item;

- 3) substitute for the infringing item other item(s) having at least equivalent capability; or
- 4) refund to the ADOC an amount equal to the price paid, less reasonable usage from installation acceptance through cessation of use, which amount will be calculated on a useful life not less than five (5) years, and plus any additional costs the ADOC may incur to acquire substitute supplies or services.

4.8 Warranty

- a) Vendor warrants that all services will be performed in a good and professional manner.
- b) Vendor warrants that it has the title to, or the right to allow the ADOC to use, the supplies and services being provided and that the ADOC will have use of such supplies and services without suit, trouble, or hindrance from Vendor or third parties. This is to ensure that no infringements, prohibitions, or restrictions are in force that would interfere with the use of such supplies and services that would leave the ADOC liable.

4.9 Compliance

All work completed under the resulting contract must be in compliance with all applicable Federal, State, and local laws, rules, and regulations. Vendor certifies that it is in compliance, and will remain in compliance, with all State, Federal, and local laws as well as all pertinent ADOC regulations in the performance of any prospective contract including, but not limited to, the following, if applicable:

- a) Comply with the provisions of the Civil Rights Act of 1964.
- b) Comply with the nondiscrimination clause contained in Section 202, Executive Order 11246, as amended by Executive Order 11375, relative to Equal Employment Opportunity for all persons with regard to race, color, religion, sex, or national origin, and the implementing rules and regulations prescribed by the Secretary of Labor.
- c) Comply with Section 504 of the Federal Rehabilitation Act of 1973 as amended (29 U.S.C. 794), the requirements imposed by the applicable H.E.W. regulation (45 C.F.R. Part 84), and all guidelines and interpretations issued pursuant thereto.
- d) Refrain from unlawful discrimination in employment and undertake affirmative action to assure equality of employment opportunity and eliminate the effects of past discrimination.
- e) Comply with the regulations, procedures, and requirements of the ADOC concerning equal employment opportunities and affirmative action.
- f) Provide such information with respect to its employees and applicants for employment.
- g) Have written sexual harassment policies that comply with the ADOC's policy, to include, at a minimum, the following information:
 - 1) the illegality of sexual harassment;

- 2) the definition of sexual harassment;
 - 3) Vendor's internal complaint process, including penalties;
 - 4) the legal recourse, investigative, and complaint process available through Vendor;
 - 5) directions on how to contact Vendor; and
 - 6) protection against retaliation.
- h) Vendor is currently enrolled with the Department of Homeland Security ("DHS") in the E-verify system, and will not knowingly hire or continue to employ a person(s) who are not either citizens of the United States or person(s) who are not in proper and legal immigration status authorizing them to be employed for pay in the United States.
 - i) Vendor will include a provision in all subcontracts that requires all subcontractors to utilize the E-Verify system to verify employment eligibility of all persons employed during the contract term. If requested, subcontractor must provide documentation as identified above.
 - j) In compliance with the Beason-Hammond Alabama Taxpayer and Citizen Protection Act as amended, by signing this Agreement, the contracting parties affirm, for the duration of this Agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of any resulting Agreement and shall be responsible for all damages resulting therefrom.
 - k) Vendor will maintain a drug-free workplace. Vendor certifies that no individual engaged in the unlawful manufacture, distribution, dispensation, possession, or use of any illegal drug or controlled substance will be eligible for employment by Vendor under the resulting contract.
 - l) Vendor acknowledges and understands that any employee or subcontractor will be subject to, and will comply with, all security regulations and procedures of the ADOC at the various institutions, the ADOC Information Systems Division, and the Alabama Office of Information Technologies.
 - m) All Selected Vendor employees or subcontractors who may enter any ADOC facility are subject to a background check and security check of his/her person and personal property (including his/her vehicle), and may be prohibited from entering the facility in accordance with ADOC regulations. Additionally, any Selected Vendor employee found to have violated any security regulation may be barred from entering any ADOC facility.
 - n) Vendor must have appropriate certifications, permits, and licenses in accordance with State and Federal law. The Vendor and its subcontractors will be responsible for obtaining any and all required governmental permits, consents, and authorizations and payment of all taxes.
 - o) Pursuant to Alabama Code Section 14-11-31 as well as 28 C.F.R. Part 115, the Prison Rape Elimination Act ("PREA"), any type of sexual contact with or sexual harassment of an

inmate in the custody of the ADOC by one who is responsible for the care, control, or supervision of inmates – with or without the consent of the inmate – is illegal. Under Alabama law, it constitutes a felony – custodial sexual misconduct. See also, ADOC Administrative Regulation 454, Inmate Sexual Assault and Harassment Awareness (Prison Rape Elimination Act (PREA)). The ADOC has a Zero Tolerance Policy toward all forms of custodial sexual misconduct, sexual abuse, and sexual harassment. Any type of conduct – including suspected conduct – that falls within the context of custodial sexual misconduct/sexual abuse, as defined by either the state or federal laws referenced above, shall be reported immediately to the Warden of the facility or director of the administrative division to which that inmate is assigned.

- p) In compliance with Act 2016-312, the contractor hereby certifies that it is not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

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SECTION V

INSTRUCTIONS TO VENDORS / PROPOSAL PREPARATION AND SELECTION CRITERIA

5.1 Deadlines

- a) Deadlines and other critical dates in this RFP have been provided in Attachment D. For any discrepancies between Attachment D and the dates included in this RFP, Attachment D will prevail.
- b) Sealed Proposals must be received **by 4:00 p.m., Central Standard Time, on November 14, 2016**, at the below listed address. Responses are to be submitted in a sealed envelope and clearly marked "ADOC RFP #2016-01." See Attachment B.

Proposals delivered directly by UPS, FEDEX, or other delivery services:

State of Alabama
Alabama Department of Corrections
Legal Division
Attn: Katherine Jessip
301 South Ripley Street
Montgomery, Alabama 36104

Responses sent via United States Postal Service:

State of Alabama
Alabama Department of Corrections
Legal Division
Attn: Katherine Jessip
P.O. Box 301501
Montgomery, Alabama 36130

- 1) 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 ADOC Commissioner's Office. Vendors have the sole responsibility for assuring that proposals are received in the ADOC Commissioner's Office by the designated date and time.
- 2) Whether proposals are mailed, hand delivered, or directly delivered by express mail, they must be delivered to the ADOC Commissioner's Office at the address shown above. 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 ADOC Commissioner's Office prior to the closing time for the solicitation.
- 3) Faxed, electronic, or oral proposals will not be accepted.

- c) If any prospective Vendor has questions about the specifications or other solicitation documents, that Vendor must submit the questions to the attention of the Single Point of Contact, Katherine Jessip, via electronic mail at katherine.jessip@doc.alabama.gov, by **4:00 pm, Central Standard Time, on October 24, 2016**. Any e-mail should include in the subject line “RFP 2016-01: Risk Assessment Automation.” It is Vendor’s responsibility to verify receipt of the questions.
- d) Written Responses to those questions received by the ADOC will be posted on the ADOC website, at www.doc.alabama.gov, and the RFP database maintained by the Alabama State Comptroller’s Office, at <http://rfp.alabama.gov/PublicView.aspx>, by close of business on October 31, 2016. Any revisions to the RFP will be made only by addendum issued by the ADOC.

5.2 Proposal Preparation

- a) The Vendor Proposal Form (Attachment A) must be used for submitting proposals. The Proposal Form must be completed and submitted with Vendor’s proposal. **All documents referenced in Attachment A must also be included with Vendor’s proposal.** The certification located at the bottom of the form should be completed, signed by an official that has the authority to bind Selected Vendor, and notarized.
- b) In order to be considered for selection, Vendor shall submit a complete response to this RFP. Proposals should be as thorough and detailed as possible so the ADOC may properly evaluate Vendor’s capabilities to provide the required services.
- c) Vendors are required to comply with the following instructions:
 - 1) Proposals shall be signed by an authorized representative of Vendor. All information requested must be submitted. Failure to submit all information requested may result in the ADOC requiring prompt submission of missing information, giving a lower score in evaluation of the proposal, or rejection of the proposal by the ADOC.
 - 2) Proposals should be prepared simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirements of the RFP. Emphasis should be on completeness and clarity of content.
 - 3) Proposals should be organized in the order in which the requirements are presented in Section 5.8 of this RFP. All pages of the proposal should be numbered. Each paragraph in the proposal should reference the corresponding paragraph from Attachment A or Section III of the RFP, as applicable. It is also helpful to repeat the text of the requirement as it appears in Attachment A or Section III of the RFP, as applicable. Proposals that are not organized in this manner risk elimination from consideration or a lower score in the evaluation of the proposal if the evaluators are unable to find where the RFP requirements are specifically addressed.
 - 4) The ADOC takes its responsibilities under the State of Alabama’s Open Records Law very seriously. 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 the ADOC with a separate, redacted copy of its proposal on a disc in PDF format, marked clearly as a “REDACTED COPY,” and briefly describe in a separate writing, as to each redacted item, the grounds for claiming exemption from the public records law. This redacted copy shall be provided to the ADOC at the same time Vendor enters its submissions 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 submissions are confidential, trade secret, or otherwise not subject to disclosure. Furthermore, Vendor shall protect, defend, and indemnify the ADOC 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 writing that must accompany the “REDACTED COPY.”

If Vendor fails to submit a Redacted Copy with its proposal, the ADOC is authorized to produce the entire document(s), data, and/or records submitted by the Vendor in response to any public records request.

5.3 Oral Presentation

The ADOC may, at its sole option, elect to require oral presentation(s) by Vendors being considered for award. This provides an opportunity for the ADOC to ask questions and Vendors to clarify or elaborate on their proposals. This is a fact finding and explanation session only and does not include negotiation. The ADOC will schedule the time and location of these presentations, if required.

5.4 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 the ADOC prior to the scheduled opening time will be accepted. The ADOC will correct the proposal after opening.

5.5 Vendor’s Representation

Vendor, by submission of a proposal, represents that it has read and understands the solicitation document and specifications and has familiarized itself with all Federal, State, and local laws, ordinances, rules, and regulations that may affect the cost, progress, or performance of the work.

The failure or omission of any Vendor to receive or examine any form, instrument, addendum, or other documents, or to acquaint itself with conditions existing at the sites, shall in no way relieve Vendor from any obligations with respect to its proposal or to the resulting contract.

5.6 Identification of Proposal Envelope

- a) Envelopes/boxes containing proposals shall be sealed and marked in the lower left-hand corner with the solicitation number, “ADOC RFP No. 2016-01,” hour, and due date of the

proposal. A sample of a return mailing label for identifying the package as a sealed proposal has been provided as Attachment B. 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, that you clearly mark the courier's envelope with the same information. The courier's envelope should be addressed as directed in the introduction Section of this solicitation.

- b) No other correspondence or other proposals should be placed in the envelope.
- c) Envelopes that are prematurely opened due to Vendor's failure to comply with this Section will not be considered. The ADOC assumes no responsibility for the premature opening of any envelope not properly identified.

5.7 Suspected Errors/Clarification

Consistent with Section 5.1(c), if Vendor suspects an error, omission, or discrepancy in this solicitation, Vendor must notify Ms. Katherine Jessip, ADOC's Single Point of Contact, via e-mail at katherine.jessip@doc.alabama.gov, and such notification must be received by the ADOC **by 4:00 p.m., Central Standard Time, on October 24, 2016**. The subject line of the e-mail should read "RFP 2016-01: Risk Assessment Automation." The ADOC will issue written instructions, if appropriate, by close of business on October 31, 2016.

If Vendor considers any part of the RFP unclear, Vendor is expected to make a written request for clarification. In the ADOC's response, the ADOC will provide the request for clarification followed by a statement of clarification by 4:00 p.m., Central Standard Time, on October 31, 2016. A copy of the responses will be posted on the ADOC website at www.doc.alabama.gov and the RFP database maintained by the Alabama State Comptroller's Office at <http://rfp.alabama.gov/PublicView.aspx>.

5.8 Submission Requirements

One original and seven (7) hard copies of the proposal must be submitted to the ADOC. This does not include the "REDACTED COPY" Vendor may choose to submit. See Section 5.2(c)(5). Each copy of the proposal should be bound or contained in a single volume where practical. All documentation submitted with the proposal should be contained in that single volume. **Vendor must also submit a disc containing an electronic copy of the complete proposal in readable PDF format as well as the "REDACTED COPY," if desired.** The ADOC will not accept oral, electronic, or faxed proposals. Vendor shall make no other distribution of the proposals. **The following is required in the proposal:**

All vendors must fully complete Attachment A, Vendor Proposal Form, in submitting their proposed prices and certifying acceptance of the terms and conditions associated with the solicitation. The Vendor Proposal Form must be signed and notarized in order to be considered. If Vendor is a corporation, the proposal must be submitted in the name of the corporation, not simply in the corporation's trade name. In addition, Vendor must indicate the corporate title of the individual signing the proposal. **Copies of any forms listed in Attachment A must also be submitted.**

5.9 Evaluation Criteria

Proposals will be evaluated by the ADOC using the following criteria:

Criteria	Percentage
General Qualifications	10%
Software Development Experience	20%
Suitability of Approach/Methodology	20%
Total Cost	50%*
Total Possible	100 %

** Clarification of "Total Cost": Total Cost will be calculated by adding the cost for each Assessment Tool and the Monthly Maintenance Fee multiplied by twenty-four (24). Points will be allocated based upon the total cost as follows: Assume there are two proposals submitted; one with a total cost of \$50,000, the other with a total cost of \$100,000. The proposal with \$50,000 cost would be awarded the full amount of the potential points allocated to Cost (or 50% of the total points); the proposal with a \$100,000 cost will be awarded 1/2 of the potential points allocated to Cost (or 25% of the total points).*

- a) Notwithstanding the foregoing, the ADOC reserves the right to award on the basis of cost alone or to accept or reject any or all bids if it is determined to be in the best interest of the State.
- b) Proposals found to be technically or substantially non-responsive at any point in the evaluation process may be rejected and not considered further.
- c) The State may, at its sole option, elect to require oral presentation(s) by Vendors clearly in consideration for award. The State reserves the right to amend the evaluation criteria to allow for scoring of the oral presentation(s).
- d) The ADOC Evaluation Committee will present written findings to the ADOC Commissioner who will make the final selection.

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ATTACHMENT A VENDOR PROPOSAL FORM

Failure to complete and provide this form 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.”

I. General Qualifications

- a) Provide Vendor’s contact information, including company name (if applicable), primary contact, mailing address (including city, state, and zip code), phone number, and e-mail address*.

*Note: The e-mail address may be used for formal communications from the ADOC.

- b) Indicate the length of time you have been in business providing this type of good or service:

Years: _____ Months: _____

- c) If Vendor is a business entity, provide Vendor’s FIN or FEI Number and Vendor’s Alabama Business License Number. If Vendor is an individual, Vendor must provide a statement that, upon award of a contract, Vendor agrees to take the steps required to sign up with the Alabama State Comptroller in order to receive payment.
- d) Provide a list of all clients lost within the last three (3) years, including a contact name, title, telephone number, and e-mail address, if available. In addition, state the length of service at the account and reason for loss. If your company has not lost any such clients in the last three (3) years, indicate so by stating, “[Vendor] has not lost any clients.”
- e) If Vendor is a business entity, provide a statement that the Vendor’s corporate office is registered with the Secretary of State to do business in the State of Alabama or provide proof of having submitted an application to do business with the assurance that Vendor will be licensed prior to assuming the contract.
- f) **Complete, sign, notarize, and attach the “Disclosure Statement” as required by Act 2001-955.** This statement is required to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. The form, along with instructions, can be found at www.ago.alabama.gov (click on “Resources”). At least one (1) original should be submitted. For your convenience, a copy of the form has been provided as part of Attachment C.
- g) **Provide a complete copy of Vendor’s Memorandum of Understanding with DHS showing enrollment in the E-verify system** (this can be printed from your business’s screen once logged in to E-verify). **Complete and attach the “CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT”** as required by Act 2011-535, and as amended by Act

2012-491. For your convenience, a copy of the certification form has been provided as part of Attachment C.

h) **Complete and attached the “CERTIFICATE OF COMPLIANCE WITH ACT 2016-312”** as required by said act. For your convenience, a copy of the certification form has been provided as part of Attachment C.

i) Answer the following questions:

Do you (or your company, if applicable) employ a current member of the Alabama Legislature or a family member of the Alabama Legislature?

Are you (or is your company) affiliated with a Lobbyist/Consultant? If so, who?

*Note: Vendor is under an ongoing obligation to inform the ADOC of any changes to these answers.

j) Read, expressly agree, and certify that Vendor has and will comply with all Terms and Conditions as set forth in **Section II** of the RFP.

k) Read, expressly agree, and certify that Vendor has and will comply with all Certifications as set forth in **Section IV** of the RFP.

II. Software Development Experience

a) Provide names, qualifications, certifications, and experience of all personnel that will be utilized to perform services as outlined in this RFP. Provide the profile and qualifications of the team and key personnel that will be assigned. The team should include, but not be limited to a Functional Lead, Technical Lead, and a PMP certified Project Manager. Provide summary biographies of project team leaders.

b) Indicate specific features that distinguish Vendor from other vendors in the field.

c) Provide three (3) references, if possible, from current or former clients. The references should attest to the experience of the Vendor and the project team in developing, implementing, and supporting software/product of similar scope. For each reference, the following information must be included: Company Name and Address; Contact Name, Title, Phone Number, and E-mail; Dates of Service to Client; and a description of the supplies or services provided.

III. Suitability of Approach

a) Provide a plan of operation to achieve the objectives as defined in Section III of this RFP, specifically addressing and referencing each item in Section III. This will assist with the evaluation process. **Note: In responding to this term, each paragraph in the proposal should reference the corresponding paragraph from Section III. It is also helpful to repeat the text of the requirement as it appears in Section III.**

b) Provide a detailed project plan with specific tasks, major milestones, implementation dates, roles, responsibilities, and deliverables, including all expected roles and responsibilities. In

responding to this Section, Vendor should make implementation of the WRNA Tool specifically a priority.

- c) Provide Vendor's method for dealing with problems and complaints presented by ADOC's employees, detailing at what point the problem would escalate to the next level of supervision or management.

IV. Cost

Vendor will be assessed based upon one fixed, Total Cost for all services required under this RFP, which will be calculated for evaluation based upon the clarification provided in Section 5.9 of this RFP. In submitting its bid, Vendor shall submit

- a) one (1) price for the development and implementation, including installation and training, for WRNA;
- b) one (1) price for the development and implementation, including installation and training, for ORAS; and,
- c) one (1) Monthly Maintenance Fee.

V. Certification

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.

_____ Authorized Signature (ink)

_____ Authorized Name (typed)

_____ Title of Authorized Person

Sworn to and subscribed before me and given under my hand and official seal this the _____ day of _____.

NOTARY PUBLIC
My Commission Expires: _____

**ATTACHMENT B
PROPOSAL SUBMISSION ENVELOPE LABEL SAMPLE
FOR DIRECT DELIVERY BY UPS OR FEDEX**

Vendor's Name:
Vendor's Address:

**State of Alabama
Department of Corrections
Legal Division
Attn: Katherine Jessip
301 South Ripley Street
Montgomery, Alabama 36104**

**ADOC Commissioner
RFP NUMBER – 2016-01
RFP Hour and Due Date:
4:00 p.m. CST, November 14, 2016.**

ATTACHMENT C

**DISCLOSURE STATEMENT & CERTIFICATE OF
COMPLIANCE FORMS**



State of Alabama Disclosure Statement

Required by Article 3B of Title 41, Code of Alabama 1975

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP TELEPHONE NUMBER

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP TELEPHONE NUMBER

This form is provided with:

- Contract
- Proposal
- Request for Proposal
- Invitation to Bid
- Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

- Yes
- No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

- Yes
- No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS

By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.

Signature Date

Notary's Signature Date Date Notary Expires

Article 3B of Title 41, Code of Alabama 1975 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.

State of _____)
County of _____)

CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by ACT 2012-491)

DATE: _____

RE Contract/Grant/Incentive (describe by number or subject):

_____ by and between
_____ (Contractor/Grantee) and
_____ (State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of _____ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by ACT 2012-491) which is described herein as "the Act."
2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

BUSINESS ENTITY. Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit.

a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, and foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.

b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

EMPLOYER. Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

- ___ (a) The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.
- ___ (b) The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.
3. As of the date of this Certificate, the Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;
 4. The Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this _____ day of _____ 20____.

Name of Contractor/Grantee/Recipient

By: _____

Its _____

The above Certification was signed in my presence by the person whose name appears above, on this _____ day of _____ 20____.

WITNESS: _____

Printed Name of Witness

CERTIFICATE OF COMPLIANCE WITH ACT 2016-312

DATE: _____

Re: Contract/Grant/Incentive (describe by number or subject):

_____ by and between _____
(Contractor/Grantee) and _____ (State Agency, Department or
Public Entity.

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of _____ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of Alabama's Act 2016-312.
2. In compliance with Act 2016-312, the contractor hereby certifies that it is not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

Certified this _____ day of _____, 20____.

Name of Contractor/Grantee/Recipient

By: _____

Its: _____

The above Certification was signed in my presence by the person whose name appears above on this _____ day of _____, 20____.

Witness: _____

Printed Name of Witness

ATTACHMENT D

RFP CRITICAL DATES

<u>ACTIVITY</u>	<u>DATE</u>
Issue RFP	October 11, 2016
Deadline for Submittal of Questions	October 24, 2016, by 4:00 p.m., CST
Answers to Questions Posted on ADOC Website	October 31, 2016
Deadline for Submittal of Proposals	November 14, 2016, by 4:00 p.m., CST
Opening Day for Proposals	November 15, 2016, 10:00 a.m., CST
Notification of Selected Vendor	December 9, 2016
Contract Review Deadline	Tentatively December 23, 2016
Contract Review Meeting	Tentatively January 5, 2017