

Solicitation PR12020

Offender Accounting System Technology Product

State of Utah



State of Utah

Bid PR12020 Offender Accounting System Technology Product

Bid Number	PR12020
Bid Title	Offender Accounting System Technology Product
Bid Start Date	Jul 27, 2011 7:41:59 AM MDT
Bid End Date	Aug 17, 2011 11:00:00 AM MDT
Question & Answer End Date	Aug 10, 2011 11:00:00 AM MDT
Bid Contact	Pamela B Rugg Purchasing Agent State of Utah 801-538-3232 prugg@utah.gov
Contract Duration	See Specifications
Contract Renewal	Not Applicable
Prices Good for	Not Applicable
Bid Comments	All questions must be posted into BidSync by August 10, 2011 no later than 11:00am MDT. Answers will be posted in BidSync.

Item Response Form

Item	PR12020--01-01 - PR12020 Offender Accounting System Technology Products
Quantity	1 job
Unit Price	
Delivery Location	State of Utah <u>No Location Specified</u>
	Qty 1

Description

All questions must be posted into BidSync by August 10, 2011 no later than 11:00am MDT. Answers will be posted in BidSync.



State of Utah

Request for Information

Legal Company Name (include d/b/a if applicable)			
Company Address	City	State	Zip Code
Company Contact Person			
Telephone Number (include area code)	Fax Number (include area code)		
Company's Internet Web Address	Email Address		

REQUEST FOR INFORMATION – INSTRUCTIONS AND GENERAL PROVISIONS

1. SUBMITTING THE RESPONSE: (a) The Utah Division of Purchasing and General Services (DIVISION) prefers that requested information to be submitted electronically. Electronic responses may be submitted through a secure mailbox at BidSync (formerly RFP Depot, LLC)(www.bidsync.com) until the date and time as indicated in this document. It is the sole responsibility of the supplier to ensure their response reaches BidSync before the closing date and time. There is no cost to the supplier to submit Utah's electronic responses via BidSync. (b) Electronic response may require the uploading of electronic attachments. The submission of attachments containing embedded documents is prohibited. All documents should be attached as separate files. (c) If the supplier chooses to submit the response directly to the DIVISION in writing: The response must be delivered to the Utah Division of Purchasing, 3150 State Office Building, Capitol Hill, Salt Lake City, UT 84114-1061 or faxed to (801) 538-3882 by the due date and time. The "Solicitation Number" and "Due Date" must appear on the outside of the envelope or on the fax cover page. (d) The DIVISION will consider faxed responses. Faxed responses are submitted at the sole option and risk of the supplier. Access to the DIVISION fax machine is on a "first come first served" basis and the DIVISION does not guarantee the supplier's access to the machine at any particular time.

2. QUOTATION PREPARATION: This solicitation will not result in a contract award. The purpose of the request is to gather information that may, or may not be used in a future Request for Proposal or Invitation for Bids.

3. SOLICITATION AMENDMENTS: All changes to this solicitation will be made through written addendum only. Answers to questions submitted through BidSync shall be considered addenda to the solicitation documents. Bidders are cautioned not to consider verbal modifications.

4. PROTECTED INFORMATION: Suppliers are required to mark any specific information contained in their response which they are claiming as protected and not to be disclosed to the public or used for purposes other than the evaluation of the response. Each request for non-disclosure must be made by completing the "Confidentiality Claim Form" located at <http://www.purchasing.utah.gov/contract/documents/confidentialityclaimform.doc> with a specific justification explaining why the information is to be protected. All material becomes the property of the DIVISION and may be returned only at the DIVISION's option. Responses submitted may to be reviewed and evaluated by any persons at the discretion of the DIVISION.

5. SAMPLES: Samples of item(s) specified in the RFI, when required by DIVISION, must be furnished free of charge to DIVISION. Any items not destroyed by tests may, upon request made at the time the sample is furnished, be returned at the supplier's expense.

6. GOVERNING LAWS AND REGULATIONS: All State purchases are subject to the Utah Procurement Code, Title 63 Chapter 56 U.C.A. 1953, as amended, and the Procurement Rules as adopted by the Utah State Procurement Policy Board. These are available on the Internet at www.purchasing.utah.gov. By submitting a bid or offer, the bidder/offeror warrants that the bidder/offeror and any and all supplies, services equipment, and construction purchased by the State shall comply fully with all applicable Federal and State laws and regulations, including applicable licensure and certification requirements.

(Revision date: 13 JULY 2010 – RFI Instructions)

REQUEST FOR INFORMATION

PR12020

OFFENDER ACCOUNTING SYSTEM TECHNOLOGY PRODUCTS UTAH DEPARTMENT OF CORRECTIONS

PURPOSE OF REQUEST FOR INFORMATION (RFI)

The Utah Department of Corrections (UDC) is seeking information and general cost requirements from qualified vendors with experience and expertise in offender accounting systems technology and products. Information gathered from this RFI will help to determine the feasibility of replacing our existing offender accounting systems. This RFI will not result in a contract – but will identify potential vendors for future formal solicitation.

UDC will work in close collaboration with the Utah Department of Technology Services (DTS) to “ensure that cost-effective, efficient information and communication systems and resources are being used by agencies to reduce data, hardware, and software redundancy; improve system interoperability and data accessibility between agencies; and meet the agency’s and user’s business and service needs” (in accordance with UCA 63F-1-104). DTS has statutory responsibility to “approve the acquisition by an executive branch agency of information technology equipment, telecommunications equipment, software services, and data acquisition” (in accordance with UCA 63F-1-205).

This RFI is designed to provide interested offerors with sufficient basic information needed to respond, but is not intended to limit content or exclude any relevant or essential data. Offerors are at liberty and are encouraged to expand upon the specifications to evidence service capability.

ISSUING OFFICE AND RFI REFERENCE NUMBER

The State of Utah Division of Purchasing is the issuing office for this document and all subsequent addenda relating to it, on behalf of The Utah Department of Corrections and the Department of Technology Services. The reference number for the transaction is RFI # PR12020. This number must be referred to on all documentation relating to this RFI.

SUBMITTING YOUR RESPONSE

Response must be received by the posted due date and time. Request for Information closes on Wednesday, August 17, 2011; no later than 11:00am (MDT).

The preferred method of receiving your RFI response is electronically through BidSync. However, if you choose to submit hard copies, one original and two (2) identical copies must be received at the State of Utah Division of Purchasing, 3150 State Office Building, Capitol Hill, Salt Lake City, Utah 84114, prior to the closing date and time specified. RFI responses received after the deadline will be late and ineligible for consideration. If sending via United States Postal Services (USPS), please mail to the State of Utah Division of Purchasing, PO Box 141061, Salt Lake City, Utah 84114-1061.

QUESTION AND ANSWER PERIOD

All questions must be submitted thru Bid Sync. Answers will be posted in BidSync. Questions must be received on or before Wednesday, August 10, 2011 no later than 11:00am (MDT).

BACKGROUND

The Utah Department of Corrections (UDC) houses nearly 4,000 offenders at the Utah State Prison (USP) located at 14425 Bitterbrush Lane in Draper, Utah; more than 1,500 at the Central Utah Correctional Facility (CUCF) located at 255 East 300 North in Gunnison, Utah; and 310 in Community Correctional Centers (aka halfway houses) in the Salt Lake Valley. UDC Adult Probation and Parole (AP&P) agents supervise 16,000 offenders out of 23 statewide AP&P offices.

UDC developed an Offender Management System called O-TRACK using PowerBuilder as the development

environment. In this system, they also developed an Offender Trust Accounting (OTA) module in PowerBuilder. This system handles the 'check book' functionality of inmates in prison. They also developed an offender obligation system (OOS) to deal with receipting funds associated with court ordered obligations, and then distributing funds to recipients. Neither of these systems were GAAP compliant.

Because of some issues with OOS and other good reasons, UDC Finance created an RFP to replace the OOS system. The resulting system, NORM, was built using Microsoft Dynamics Navision (NAV). That system is still being used. Because of concerns with the OTA system, UDC contracted with a vendor to convert the OTA system into the same NAV system. We are still working with the vendor on some desired functionality and some issues.

CURRENT SYSTEMS

Offender Trust Accounting (OTA)

- Utah Department of Corrections (UDC) currently uses the Offender Trust Accounting (OTA) system for portions of inmate trust accounting.
 - o OTA provides "Check Book" functionality for inmates.
 - o The OTA module is a PowerBuilder release 11.2 application and it shares the Informix database tables with O-Track.
 - o The financial management portion of the OTA application was moved over to NORM for GAAP compliance.
 - o The remaining PowerBuilder portion of OTA has data exchange interfaces with NORM.
 - o OTA reports are built from PowerBuilder 11.2 for the Informix tables and Centerline Software, Inc. Pivotier or SQL Server Reporting Services (SSRS) for SQL Server 2005 and Informix tables.

Nav Offender and Recipient Management (NORM)

- Utah Department of Corrections (UDC) currently uses the NAV Offender and Recipient Management (NORM) system for their offender obligation management and a portion of the inmate trust accounting system.
 - o NORM was built to replace the older PowerBuilder module called the Offender Obligation System (OOS). The OOS application was not GAAP compliant.
 - o NORM is built on the Microsoft Dynamics NAV accounting 5.0 platform.
 - o NORM uses Microsoft SQL Server 2005 for the Relational Database Management System.
 - o The Microsoft Dynamics NAV 5.0 accounting platform is GAAP compliant.
 - o NORM reports are built from native NAV Report Writer, Centerline Software, Inc. Pivotier and SQL Server Reporting Services (SSRS).
 - o NORM has data interfaces with O-Track, State of Utah Courts (CORIS), State of Utah FiNet (financial) system, Office of State Debt Collection (OSDC), State of Utah Department of Administrative Services Finders application (DAS), OTA inmate television leasing financial data, Keefe Commissary Network (deposit/payment data), Tiger Commissary application, Utah Correctional Industries (UCI) inmate payroll application, inmate medical obligations, and current Bank.

O-Track – Offender Tracking System

- Utah Department of Corrections (UDC) currently has "O-Track" for their offender tracking system.
 - o O-Track uses Informix for the Relational Database Management System.
 - o O-Track is a PowerBuilder release 11.2 application, but some components of O-Track were recently rewritten in Java and are now web-enabled. F-Track (Field Track) is now web enabled.
 - o O-Track has data interfaces with NORM.

ANTICIPATED SYSTEM FUNCTIONALITY

I. Anticipated functionality of an offender financial accounting system to potentially replace the existing offender obligation management and inmate trust accounting systems

- A. The Accounting Software System must:
 - 1. Adhere to generally accepted accounting principles (GAAP) and be capable of being audited by the State. This accounting system(s) will be used for the financial services for all offenders that are supervised by the Utah Department of Corrections. This includes inmates in prison and offender on probation and parole.

2. Be capable of handling all accounting functions of a typical inmate trust accounting system, and also allow for the allocation of court ordered obligation (fines, fees, restitution) for offenders on probation or parole.
 3. Function on the State's existing platform. And the contractor will need to identify the compatibility of the proposed system.
 4. Be able to support a minimum of 100 concurrent users.
 5. Have ability to download data into Microsoft Excel.
- B. The Accounting System must include the following components:
1. Real time General Ledger;
 2. Cash Receipt Journal to track all deposits made to an offender's account;
 3. Account Receivable Journal to record and keep track of all outstanding monies owed by each offender;
 4. Account Payable Journal to record all payments made from offender's account;
 5. General Journal to make general and adjusting entries;
 6. General Journal transactions must be grouped by account in the General Journal and summarized by month and year;
 7. Debit Release Cards as a mode for closing inmate accounts upon release and a re-loadable debit card for offenders at the halfway houses;
 8. For inmates who work for pay in the facility, the system must provide a feature to record work hours and an automated method for issuing payment into inmate accounts;
 9. Ability to generate a report of all released/closed and/or delinquent accounts (offender's name, ID #, and total amount owed);
 10. Ad-hoc reporting capabilities; and
 11. Include a way to manage historic data, retrievable by users for research purposes. (Historic data could be closed accounts, accounts with zero balances or other scenarios.)
- C. When deposits are made into the accounting system, the following options will need to be included:
1. Phone services;
 2. Internet services;
 3. Kiosk services (on-site at parolee offices and also within the prison housing units); and
 4. Mail-in services.
- D. Accounting System must:
1. Maintain interfaces, processes, and data as they currently exist;
 2. Create existing OTA interfaces, processes, and data;
 3. Handle data conversion from the old system;
 4. Maintain TV Leasing physical location data and processes in O-TRACK;
 5. Maintain O-TRACK's ability to display both summary and detailed data in real time; and
 6. Comply with Utah Code requirements to track:
 - a. Offender's 10% medical co-pay obligations for services received off-site, (100% if liquid assets exceed \$200,000.00 up to a maximum of 20% of his liquid assets),
 - b. Offender's 10% medical co-pay for glasses, dentures, and other medical equipment, in accordance with Utah Code 64-13-30; and
 - c. Offender educational co-pay obligation amounts (payment not due until 2 years after termination), in accordance with Utah Code Title 64-13-30.5.
 7. Track amount paid by inmates for medical services and manage \$2,000.00 maximum payout per year, per inmate;
 8. Where possible, move data through direct access to the databases instead of file transfers;
 9. Process electronic banking;
 10. Create a bank reconciliation;
 11. Have the ability to take an allocated percentage of money from incoming money and post it to pay for restitutions, fines, and other obligations;
 12. Handle conversion of all OTA data into new system; and
 13. Display offender balances, detailed transactions, and indigent status in O-TRACK.
- E. Final system must include all current NORM and OTA functionality, including:

1. Payments to UCI for commissary purchases;
2. Process gate money payments;
3. Inmate statements;
4. Offender statements;
5. All financial data that relates to an inmate is recorded and tracked including deposits from payroll, family, or friends, indigent status, medical and educational co-pays, TV leasing obligations, commissary purchases, and payments to vendors or any other authorized transaction;
6. DNA fees (create a data feed);
7. Interfaces:
 - a. Commissary interface;
 - b. Medical interfaces (currently spreadsheets, want direct access to information or electronic file interface);
 - c. F-TRACK interface (exists);
 - d. CORIS interface;
 - e. UCI and DIO Payroll interface;
 - f. OSDC interface;
 - g. Electronic banking;
 - h. Obligation balances to DAS to garnish tax refunds;
 - i. Issued check list to the bank;
 - j. TV leasing physical location information (O-TRACK maintains data on who has TVs etc. Needs interface to NORM to process billing);
 - k. Collected offender funds are distributed and disbursed to recipients (exists);
8. Ability to take an allocated percentage of offender incoming money to pay for restitutions, fines, and other obligations (based on identified priorities); and
9. Ability to process withdrawals at Centers with a re-loadable debit card instead of cutting a check.

REQUIREMENTS AND COMPANY QUALIFICATIONS

1. **Executive Summary.** The one or two page executive summary is to briefly describe the offeror's potential solution. This summary should highlight the major features of the potential solution. Proprietary information included in the potential solution should be identified in this section.
2. **Point-by-Point Response** - To be considered responsive to this RFI, vendors must submit a specific point-by-point response, in the order listed, to each section, paragraph, and item contained in the previous system functionality description.
3. **Business Experience/ Qualifications** – The respondent should describe their firm's experience and qualifications for providing similar accounting systems.
4. **System Requirements** – The respondent should provide a list of the hardware and software requirements needed to implement their potential solution, including user licensing and required hardware platforms.
5. **Estimated System Price** – Price will be utilized only to determine the feasibility of moving forward with a replacement system. The respondent should provide estimated costs on the attached "COST ESTIMATE" sheet.
6. **Implementation** – The respondent must provide a proposed approach, project plan, and an estimated timeline required for a typical implementation.
7. **Secure Protection and Handling of Data**
 - a. **Network Security:** The potential solution should maintain network security that – at a minimum – includes: network firewall provisioning, intrusion detection, and regular third party penetration testing. Likewise the potential solution must maintain network security that conforms to one of the following:
 - 1) Those standards the State of Utah applies to its own network, as found at <http://www.dts.utah.gov> and elsewhere;
 - 2) Current standards set forth and maintained by the National Institute of Standards and Technology, include those at: <http://web.nvd.nist.gov/view/ncp/repository/>; or

- 3) Any generally recognized comparable standard that Vendor then applies to its own network.
- b. **Data security:** The potential solution needs to protect and maintain the security of the State of Utah data with protection that is at least as good as or better than that maintained by the State of Utah. These security measures include maintaining secure environments that are patched and up to date with all appropriate security updates as designated, for example Microsoft Notification.
- c. **Data Transmission:** The potential solution needs to assure that any and all transmission or exchange of system application data with the State of Utah and/or any other parties expressly designated by the State of Utah, will take place via secure means, e.g. HTTPS or FTPS.

COST ESTIMATE
OFFENDER FINANCIAL ACCOUNTING SYSTEM

Company Name**Name and Title of Person Submitting Information****Option 1 – ACQUISITION of a PURCHASED OFFENDER FINANCIAL ACCOUNTING SYSTEM**

1a. Estimated one-time all inclusive first year cost, to include at a minimum:

- Consultation, audit/evaluation of needs;
- Software;
- Hardware;
- Licensing;
- Programming (to accommodate interfaces); and
- Training.

1b. Estimated annual on-going maintenance and support, during subsequent years, to include at a minimum:

- Maintenance
- Consulting;
- CONTRACTOR support; and
- Upgrades to licensing and training.

Option 2 – HOSTED LEASED/CONTRACTED OFFENDER FINANCIAL ACCOUNTING SYSTEM

2a. Estimated one-time all inclusive first year cost, to include at a minimum:

- Consultation, audit/evaluation of needs;
- Software;
- Hardware;
- Licensing;
- Programming (to accommodate interfaces); and
- Training.

2b. Estimated annual on-going maintenance and support, during subsequent years, to include at a minimum:

- Maintenance
- Consulting;
- CONTRACTOR support; and
- Upgrades to licensing and training.

Any questions must be asked prior to the deadline for questions to ensure everyone has the same information.

Question and Answers for Bid #PR12020 - Offender Accounting System Technology Product

OVERALL BID QUESTIONS

**There are no questions associated with this bid. If you would like to submit a question,
please click on the "Create New Question" button below.**

Question Deadline: Aug 10, 2011 11:00:00 AM MDT