



# ALABAMA DEPARTMENT OF HUMAN RESOURCES REQUEST FOR PROPOSALS

PROCUREMENT INFORMATION	
<b>RFP Number:</b> 2021-120-01	<b>RFP Title:</b> Enterprise Accounting System (EAS)
<b>Proposal Due Date and Time:</b> <i>Monday, July 19, 2021</i> 12:00 p.m., Central Time	<b>Number of Pages:</b> 65
<b>Procurement Officer:</b> Vicki Cooper-Robinson, Procurement Manager Phone: (334) 353-2471 E-mail Address: <a href="mailto:vicki.robinson@dhr.alabama.gov">vicki.robinson@dhr.alabama.gov</a> Website: <a href="http://www.dhr.alabama.gov">http://www.dhr.alabama.gov</a>	<b>Issue Date:</b> June 21, 2021
	<b>Issuing Division:</b> Office of Audit

INSTRUCTIONS TO VENDORS	
<b>Submit Proposal to:</b> Starr Stewart, Director Office of Procurement Alabama Department of Human Resources Gordon Persons Building, Room Q3-019 50 Ripley Street Montgomery, AL 36130-4000	<b>Label Envelope/Package:</b> RFP Title/Number: <i>RFP# 2021-120-01</i> Enterprise Accounting System/Proposal Due Date: <i>Monday, July 19, 2021</i>
	<b>Special Instructions:</b>

VENDOR INFORMATION	
(Fill in the information fields below and return this form with RFP response)	
<b>Vendor Name/Address:</b>	<b>Authorized Vendor Signatory:</b>
<b>DUNS NUMBER:</b> _____	(Please print name and sign in ink)
<b>Vendor Phone Number:</b> (    )	<b>Vendor FAX Number:</b> (    )
<b>Vendor Federal I.D. Number:</b>	<b>Vendor E-mail Address:</b>
Indicate whether this proposal is an original or a copy. <input type="checkbox"/> Original <input type="checkbox"/> Copy	
<b>Total number of proposal pages:</b> _____	
<b>Trade Secret Declarations:</b> ( <u>reference section/page(s) of trade secret declarations</u> )	

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## VENDOR'S RFP CHECKLIST

1. \_\_\_\_\_ **Read the entire document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contractual requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. \_\_\_\_\_ **Note the procurement officer's name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP.
3. \_\_\_\_\_ **Attend the pre-proposal conference** if one is offered. These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the Department of any ambiguities, inconsistencies, or errors in the RFP.
4. \_\_\_\_\_ **Take advantage of the “question and answer” period.** Submit your questions to the procurement officer by the due date listed in the Schedule of Events and view the answers given in the formal “addenda” issued for the RFP. All addenda issued for an RFP are posted on the Department’s website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) and will include all questions asked and responses concerning the RFP.
5. \_\_\_\_\_ **Follow the format required in the RFP** when preparing your response. Provide point-by-point responses to all sections in a clear and concise manner.
6. \_\_\_\_\_ **Provide complete answers/descriptions.** Read and answer **all** questions and requirements. Don’t assume the Department or evaluation committee will know what your company’s capabilities are or what items/services you can provide, even if you have previously contracted with the Department. The proposals are evaluated based solely on the information and materials provided in your response.
7. \_\_\_\_\_ **Use the forms provided**, i.e., cover page, budget forms, certification forms, etc.
8. \_\_\_\_\_ **Check the Department’s website for RFP addenda.** It is the vendor’s responsibility to check the Department’s website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) for any addenda issued for this RFP, no further notification will be provided.
9. \_\_\_\_\_ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and will be used to score your response.
10. \_\_\_\_\_ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document, and submit all required items on time. Late proposal responses are *never* accepted.

**This checklist is provided for assistance only and should not be submitted with Vendor’s response.**

**SCHEDULE OF EVENTS**

*The following RFP Schedule of Events represents the Department's best estimate of the schedule that will be followed. Unless otherwise specified, the time of day for the following events shall be between 9:00 a.m. and 12:00 p.m., Central Time. The Department reserves the right, at its sole discretion, to adjust this schedule, as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) as detailed in Section 1.5.3 of this RFP. Vendors should refer to the website periodically for changes to the RFP.*

<b>EVENT</b>	<b>DATE</b>
<b>RFP Issue Date.....</b>	<b>June 21, 2021</b>
<b>Deadline for Receipt of Written Questions.....</b>	<b>June 28, 2021</b>
<b>Deadline for Posting of Written Responses to Questions .....</b>	<b>July 06, 2021</b>
<b>Proposal Due Date .....</b>	<b>July 19, 2021</b>
<b>Evaluation of Proposals and Selection of Vendors .....</b>	<b>September 27-October 01, 2021</b>
<b>Intended Date for Notice of Intent to Award a Contract .....</b>	<b>October 15, 2021</b>

## SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS

### 1.0 PROJECT OVERVIEW

The ALABAMA DEPARTMENT OF HUMAN RESOURCES, (hereinafter referred to as “the Department” and “DHR”) seeks information from vendors on customizing and implementing a cloud-based software as a service. The new **Enterprise Accounting System (EAS)** must support general accounting and financial management functions for the Department’s county offices. DHR currently utilizes a legacy mainframe accounting system (AFNS) for its county financial management and accounting. This system is scheduled to be retired no later than October 1, 2022. DHR is seeking a replacement system that will handle all of the accounting functions and provide a user-friendly interface for staff who use the system in its (67) sixty-seven counties and satellite offices.

A more complete description of the services sought for this project is provided in *Section 2, Scope of Project*. Responses submitted in response to this solicitation must comply with the instructions and procedures contained herein.

### 1.1 ELIGIBLE ENTITIES

Eligible entities may include governmental agencies, non-governmental public or private organizations and individuals who: 1) are legally authorized to conduct business within the State of Alabama; 2) possess a high degree of professional skill in the area of service described in this document to include: three (3) years’ experience with application design, development, and implementation of systems of similar size, scope, and complexity; 3) possess the skills needed to perform the services described in this RFP; and, 4) meet the terms and conditions of the RFP. In addition, applicants must demonstrate the ability to manage Department funds in accordance with Federal and State regulations and guidelines.

### 1.2 REQUIRED LICENSURE/CERTIFICATION/CREDENTIAL

There are no licensure, certification or credential requirements for this procurement.

### 1.3 CONTRACT TERM

The initial contract term will begin *November 01, 2021* and end *April 30, 2024*. Renewals of the contract, as agreed upon by both parties, may be made at **one (1)** year intervals, or any interval that is advantageous to the Department, not to exceed a total of **two (2)** years, at the option of the Department. *Selected vendors must be fully operational on Monday, November 01, 2021.*

### 1.4 POINT OF CONTACT

From the date this Request for Proposal (RFP) is issued until the vendor selection is announced, all communication must be directed to the procurement officer in charge of this solicitation. **Vendors must not communicate with any Department staff or officials regarding this procurement with the exception of the procurement officer.** Any unauthorized contact will disqualify the vendor from further consideration. Contact information for the point of contact is as follows:

**Vicki Cooper-Robinson, Procurement Manager**  
**Office of Procurement**  
**Alabama Department of Human Resources**  
**Gordon Persons Building, Room Q3-012**  
**50 Ripley Street**  
**Montgomery, AL 36130-4000**  
**Telephone Number: (334) 353-2471**  
**E-mail Address: [vicki.robinson@dhr.alabama.gov](mailto:vicki.robinson@dhr.alabama.gov)**

## **1.5 REQUIRED REVIEW**

### **1.5.1 REVIEW RFP**

Vendors should carefully review the instructions, mandatory and general requirements, project specifications, and the standard terms and conditions in this RFP. After a thorough review of the RFP, if the vendor identifies any ambiguity, inconsistency, unduly restrictive specifications, or error, promptly notify the procurement officer identified above in writing, via e-mail or courier by the deadline for receipt of questions as stated in the Schedule of Events.

### **1.5.2 VENDOR'S QUESTIONS**

Vendors with questions or requiring clarification regarding any section of this RFP must reference the RFP by title and number and submit written questions via e-mail or courier to the procurement officer referenced above by 3:00 p.m. (CST) **Monday, June 28, 2021**. Each question must reference the section, page, and item in question. Vendors must submit all questions posed in a single email message to the procurement officer. Questions received after the deadline will not be considered.

### **1.5.3 DEPARTMENT'S RESPONSES**

The Department will provide an official written answer by **Tuesday, July 06, 2021** to all questions received by the deadline on **Monday, June 28, 2021**. The Department's response will either provide clarification of the applicable issue or be in the form of a correction to this RFP. Vendor questions and the Department's responses, as well as any formal written addendum will be posted on the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) by the close of business on the date listed.

## **1.6 MANDATORY REQUIREMENTS**

Vendors are expected to respond to all of the requirements described in this document. The Department will determine whether a vendor's proposal meets the terms of the requirements. Proposals that do not meet all requirements listed in this RFP may be subject to point reductions during the evaluation process or may be deemed non-responsive. Proposals that do not meet the requirements 1.6.1 through 1.6.7 will be deemed non-responsive and no other consideration will be given. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

### **1.6.1 DEADLINE FOR RECEIPT OF PROPOSALS**

Proposals must adhere to the format requirements and must be received by the deadline for receipt of proposals as specified in the Schedule of Events and Section 1.8.1 *Required Copies and Deadline for Receipt of Proposals*.

### **1.6.2 LEGAL STATUS LETTER OR TAXPAYER IDENTIFICATION NUMBER FORM**

Vendors must include a legible copy of their legal status letter from the Internal Revenue Service. If the legal status letter is not available, a completed and signed copy of the "**Request for Taxpayer Identification Number**" form (*Appendix B*) must be included.

### **1.6.3 DISCLOSURE STATEMENT**

Act 2001-955 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. Disclosure Statements are available for completion on the Attorney General's web site at [www.ago.alabama.gov](http://www.ago.alabama.gov) under *Publications and Forms*. Vendors may also click on the following links for a copy of the Disclosure Statement: (online fill-in) <http://www.ago.alabama.gov/File-AL-Vendor-Disclosure-Statement> when connected to the internet. Vendors must include a completed copy of the Disclosure Statement in their proposals.



#### **1.6.4 CERTIFICATE OF COMPLIANCE**

Vendors must submit a completed, signed copy of the certificate of compliance (*Appendix D*) with their proposals.

#### **1.6.5 E-VERIFY DOCUMENTATION**

Vendors must submit e-verify registration documentation with their proposals.

#### **1.6.6 AUTHORIZED VENDOR SIGNATORY**

Vendors must provide an original proposal using the format described, with an original signature of person(s) legally authorized to bind the applicant to the proposal.

#### **1.6.7 DUNS NUMBER**

Vendors must include their Dun & Bradstreet, or D-U-N-S, Number, a unique nine-digit identification number for each physical location of your business.

### **1.7 GENERAL REQUIREMENTS**

#### **1.7.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS**

By submitting a response to this RFP, vendors agree to acceptance of the standard terms and conditions of this RFP. Requests for additions or exceptions to the standard terms and conditions including any necessary licenses, or any added provisions must be submitted to the procurement officer by the due date for receipt of written questions and must be accompanied by an explanation of why the exception is being sought and what specific effect it will have on the vendor's ability to respond to the RFP or perform the contract.

*Note: The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

#### **1.7.2 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS**

By submitting a response to this RFP, vendors agree to an understanding of and compliance with the specifications and requirements described in this RFP.

#### **1.7.3 PRIMARY VENDOR/SUBCONTRACTORS**

The primary vendor if a contract is awarded shall be responsible, in total, for all work of any subcontractors. All subcontractors, if any, must be listed in the proposal. The vendor shall not assign, transfer or subcontract any portion of the contract without the written consent of the Department. The vendor shall be responsible to the Department for the acts and omissions of all subcontractors or agents and of persons directly or indirectly employed by such subcontractors, and for the acts and omissions of persons employed directly by the vendor. Any awards made as a result of this document will create a contractual relationship between the vendor and the Department, not the subcontractor.

#### **1.7.4 VENDOR'S SIGNATURE**

An individual authorized to legally bind the organization submitting the proposal must sign the original proposal in ink. The vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion that would preclude the Department from obtaining the best possible service for the best possible price.

## **1.8 SUBMITTING A PROPOSAL**

### **1.8.1 REQUIRED COPIES AND DEADLINE FOR RECEIPT OF PROPOSALS**

Vendors must submit **one (1)** original proposal, **seven (7)** copies and **one (1)** electronic (PDF preferred) copy on CD, DVD, USB or thumb drive clearly labeled with the Vendor's name and the RFP title and number to:

**Starr Stewart, Director  
Office of Procurement  
Alabama Department of Human Resources  
Gordon Persons Building, Room Q3-019  
50 Ripley Street  
Montgomery, AL 36130-4000**

Proposals must subscribe to the section/subsection headings and numbering format (i.e., **4.2.5.1 Vendor Qualifying Information**) as specified in *Section 4 Proposal Format and Instructions*. Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to the **RFP# 2021-120-01 Enterprise Accounting System**. **Proposals must be received at the receptionist's desk of the Resource Development-Office of Procurement by 12:00 p.m., local time, Monday, July 19, 2021.** Two business (Monday-Friday) days prior to the due date, proposals may be hand delivered between the hours of 9:00 a.m. - 12:00 p.m. (with the exception of state and federal holidays). Faxed and electronically submitted responses to requests for proposals are NOT accepted.

### **1.8.2 FAILURE TO COMPLY WITH INSTRUCTIONS**

Vendors failing to comply with these instructions may be deemed non-responsive or subject to point deductions. The Department may also choose to not evaluate and disqualify from further consideration any proposals that do not follow the format described in Section 4: *Proposal Format and Instructions*, are difficult to understand or read, or are missing any requested information.

### **1.8.3 COST PROPOSAL FORMS**

Vendors **must** respond to this RFP with a cost proposal and may utilizing the cost proposal forms found in *Appendix E(optional)*. The proposal submitted will be used as the primary representation of each Vendor's cost and will be used extensively during proposal evaluations. Additional information may be included as necessary to explain in detail the Vendor's cost.

### **1.8.4 TIMELY SUBMITTED PROPOSALS**

All timely submitted proposals and materials received in response to this RFP become the property of the Department and will be incorporated into any formal documentation and/or contract resulting from this RFP between the Department and the Vendor.

### **1.8.5 LATE PROPOSALS**

**Regardless of the cause, late proposals will not be accepted and will automatically be disqualified from further consideration.** It shall be the Vendor's sole risk to assure delivery at the receptionist's desk at the designated office by the designated time. Late proposals will not be opened and may be returned to the Vendor at the expense of the Vendor or destroyed if requested.

## SECTION 2: STANDARD INFORMATION

### 2.0 AUTHORITY

This RFP is issued under the authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3<sup>rd</sup> Sp. Sess., p 817, §1.). Any awards resulting from this RFP will be made based on stated evaluation criteria. The weight assigned to each criterion denotes the relative importance of that criterion. No criteria, other than that identified in this RFP, will be used.

### 2.1 VENDOR COMPETITION

In accordance with 45 CFR 74.43, the Department encourages free and open competition among Vendors. Whenever possible, the Department will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the Department's need to procure technically sound, cost-effective services and supplies.

### 2.2 NONDISCRIMINATION

In accordance with 45 CFR 74.44, no person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the Department's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, political beliefs or any other classification protected by Federal or Alabama State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the Department or in the employment practices of the Department's contractors. Accordingly, all Vendors entering into contracts with the Department shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

### 2.3 CERTIFICATE OF COMPLIANCE AND E-VERIFY

Only U.S. citizens or foreign citizens who have the necessary authorization to legally work in the United States may be employed to work under any contract with the Department. Vendors must agree to not knowingly employ, hire for employment, or continue to employ an unauthorized alien, and must provide to the Department a certificate of compliance with the Beason-Hammon Alabama Taxpayer and Citizen Protection Act (*Appendix D*).

The United States Citizenship and Immigration Services ([www.uscis.gov](http://www.uscis.gov)) provides E-Verify, an internet-based system that allows companies to determine their employees' eligibility to work in the United States. Vendors must participate in the E-Verify program and verify every employee that is required to be verified according to the applicable federal rules and regulations. Vendors must provide documentation to the Department establishing that they are enrolled in the E-Verify program.

Vendors must agree to not knowingly employ, hire for employment, or continue to employ a subcontractor to perform work under a contract that knowingly employs, hires for employment, or continues to employ an unauthorized alien. Any subcontractor hired to perform work under a contract must attest to such by sworn affidavit signed before a notary. Subcontractors must also enroll in the E-Verify program prior to performing any work on a project and must attach to the sworn affidavit documentation establishing that the subcontractor is enrolled in the E-Verify program.

### 2.4 DUNS NUMBER

Vendors must obtain a Dun & Bradstreet, or D-U-N-S, Number, a unique nine-digit identification number for each physical location of your business. D-U-N-S Number assignment is free for all businesses required to register with the federal and state government for contracts or grants.

## **2.5 PROPOSAL EFFECTIVE PERIOD**

All proposals submitted in response to this RFP shall be effective for a 180-day period following the deadline for receipt of proposals as specified in the Schedule of Events and may not be modified, withdrawn or canceled by the Vendor during this period.

## **2.6 TRADE SECRETS**

As part of the initial evaluation, the procurement officer in charge of this solicitation will review proposals received in response to this RFP, for any information deemed a “trade secret” by the vendor and separate identified parts of proposal from public viewing providing the following conditions have been met: (1) confidential information is clearly marked and separated from the rest of the proposal; (2) the proposal does not contain confidential material in the cost or price section; and (3) an affidavit from a Vendor’s legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets. If applicable, the Vendor’s Legal Counsel must use the Department of Human Resources “Affidavit for Trade Secret Confidentiality” form when requesting the trade secret claim. The affidavit form (*Appendix C*) is included in this document.

Information separated out under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Vendors must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a “right to know” (open records) request from another party.

## **2.7 PRE-SCREENING AND EVALUATION OF PROPOSALS**

### **2.7.1 PRE-SCREENING**

During the pre-screening, proposals will be reviewed to ensure compliance with all general and mandatory requirements. Upon completion of this initial review they will be classified “responsive” or “non-responsive”. However; proposals may be found non-responsive at any time during the evaluation process if the proposal does not meet the formatting requirements specified in the RFP; if any of the required information is not provided; or the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP. Proposals declared non-responsive, will not receive further consideration.

### **2.7.2 EVALUATION OF PROPOSALS**

All responsive proposals will be evaluated against the stated criteria. However, this does not preclude the Department from any discussions/negotiations or requests for a best and final offer that it may deem necessary to assist in determining the Vendor. In scoring against stated criteria, the Department may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors to determine the most advantageous offering to the Department.

## **2.8 DISCUSSION/ORAL PRESENTATION/PRODUCT DEMONSTRATION**

After receipt of all proposals and prior to the determination of the award, the Department may initiate discussions with one or more Vendors should clarification or negotiation be necessary. Vendors may also be required to make an oral presentation and/or product demonstration to clarify their RFP response or to further define their offer. In either case, Vendors should be prepared to send qualified personnel to **Montgomery, Alabama**, to discuss technical and contractual aspects of the proposal. Oral presentations and product demonstrations, if requested, shall be at the Vendor’s expense.

## **2.9 BEST AND FINAL OFFER**

The Department reserves the right to request a “best and final offer” for this RFP based on price/cost alone, from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their “best and final offer,” which must include any and all discussed and/or negotiated changes.

## **2.10 PUBLIC REQUESTS FOR INFORMATION**

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available to the public upon requests shortly after the signing of a contract(s) with the exception of: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any financial information requested by the Department, unless prior written consent has been given by the Vendor.

## **2.11 COST OF PREPARING A PROPOSAL**

The Department is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal or any other costs incurred by the Vendor prior to execution of a contract. All costs are the responsibility of the Vendor.

## **2.12 DEPARTMENT’S RIGHTS RESERVED**

While the Department has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the Department to award and execute a contract. Upon determination such actions would be in its best interest, the Department, in its sole discretion, reserves the right to the following:

### **2.12.1 PRE-SELECTION DISCRETION**

The Department reserves the right at its sole discretion, at any time and for any reason, to reject any or all of the proposals submitted in response to this RFP, or to cancel this RFP, if it is deemed by the Department to be in its best interest to do so.

### **2.12.2 POST-SELECTION DISCRETION**

Upon selection of a proposal, the Department reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the Department to be in its best interest to do so.

### **2.12.3 WAIVERS**

Notwithstanding the amendment provisions otherwise set forth herein, the Department reserves the right at its sole discretion, to waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver in the event the Department determines that such award is in the best interest of the Department. Minor irregularities are those which will not have a significant adverse effect on the overall program cost or performance.

### **2.12.4 NEGOTIATIONS**

The Department reserves the right to negotiate with any vendor whose proposal is within the competitive range, as specified in the RFP with respect to technical plan and cost, as well as to select a vendor other than the vendor offering the lowest price.

### **2.12.5 ADOPTION OF IDEAS**

The Department reserves the right to adopt to its use all or any part, of a vendor’s proposal and to use any idea or all ideas presented in a proposal.

### **2.12.6 ORAL PRESENTATIONS**

The Department reserves the right to require some or all of the vendors to provide oral presentations of their proposals.

### **2.12.7 AMENDMENTS**

The Department reserves the right to amend the RFP. Except as provided above with respect to “WAIVERS” made by the Department, all amendments to the RFP will be made by written addendum issued by the Department and posted to the web at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) under this RFP link.

### **2.12.8 NO GUARANTEE OF CONTRACT**

Selection of a proposal shall not be binding upon the Department and may or may not, at the Department’s sole discretion, result in the Department entering into a contract with the vendor if it is in the best interest of Department not to proceed with contract execution.

### **2.12.9 RIGHT TO INVESTIGATE AND REJECT**

The Department may make investigations as deemed necessary to determine the ability of the Vendor to perform the services specified. The Department reserves the right to reject any proposal if the evidence submitted by, or investigation of, the Vendor fails to satisfy the Department that the Vendor is properly qualified to carry out the obligations of the contract. This includes the Department’s ability to reject the proposal based on negative references.

### **2.12.10 DISCLAIMER**

Issuance of this RFP does not constitute a commitment by the Department to select any proposal submitted in response to the RFP, or to award a contract to any vendor who responds to this RFP.

## SECTION 3: SCOPE OF PROJECT

### 3.0 ENTERPRISE ACCOUNTING SOFTWARE

The ALABAMA DEPARTMENT OF HUMAN RESOURCES, (hereinafter referred to as “the Department” and “DHR”) seeks information from vendors on customizing and implementing a cloud-based software as a service. Enterprise Accounting System (EAS) to replace the current accounting software being utilized by Alabama Department of Human Resources (DHR) county offices. DHR requests the services of a qualified professional firm experienced in providing and installing new accounting software, conversion of historical data, general guidelines for proper workflow and security, start-up training and on-going support and maintenance of the system. DHR is seeking a user-friendly system to maintain its financial transactions and facilitate financial reporting. Many of the users (Finance Officers) of the EAS will be administrative staff without any formal accounting training. DHR has General Ledger, Bank Reconciliation, Cash Receipts, Accounts Receivable, Accounts Payable, and Reporting Modules in its current system.

### 3.1 DHR ORGANIZATION

The Alabama Department of Human Resources (ADHR) is an agency of Alabama State Government headquartered in Montgomery, Alabama. Major programs of DHR include Food Assistance, Child Support Enforcement, Temporary Assistance to Needy Families (TANF), Welfare-To-Work programs, Adult Protective Services, Child Day Care Services, and Family Services.

DHR operates under the purview of the State Board of Human Resources with the Governor serving as Chairman of the Board and appointed board members serving six-year terms. The Board functions to approve major administrative actions including approval of the annual operating budget and the appointment of the DHR Commissioner.

DHR is a county-based, State administered agency with each of the 67 county offices having an appointed County Director. The agency has approximately 4,200 State merit system employees with most employees working in the county offices.

Each county DHR office has local funds at its disposal for use in the day-to-day operations of the county office by the Finance Officer and his/her Backup(s). In the current environment, local DHR offices utilize a legacy mainframe system called the Advantage Financial Standard (AFNS) for local accounting needs.

### 3.2 CURRENT ACCOUNTING SYSTEM ENVIRONMENT (AFNS)

AFNS is a complete, computerized financial management system. It performs standard accounting functions at the county level, such as establishing subsidiary ledger (subledger) accounts, recording cash receipts, disbursements, and adjustments. It maintains several inquiry tables that are updated as transactions are accepted. It also maintains a database from which several detailed and summarized reports are created. In many DHR county offices, the Finance Officers who are responsible for these duties are administrative staff who are not accountants and have no formal accounting training. The AFNS system is being retired in September 2022 and DHR is seeking a new county office accounting system to replace it.

#### 3.2.1 SOURCE OF FUNDS

County Offices may accept and use funds from public and private donors. Donations may be accepted from the donor for a designated family, individual, program, or need.

Donations to the County Department from individuals and private businesses are deductible from Federal and State income taxes unless they are earmarked for a specific person or family

County Directors are encouraged to openly solicit donations/appropriations from city and county governments, various civic groups and organizations in the community. County Directors should have an understanding or agreement with local governing bodies, private organizations, or individuals that give money as to how the funds will be used.

### **3.2.2 CLASSIFICATION OF FUNDS**

Local funds are classified into one of the five categories:

Public General: Appropriated by a government agency such as Federal, State, County, City or Town and not restricted by the donor for a specific person or purpose. The County Director can and should solicit funds from their local county commissions and city councils. Examples are: Interest Account, City and County Appropriations. In the current system called AFNS, this is fund #1. (See Appendix H, for listing of a few statewide Public General accounts)

Public Earmarked: Appropriated by a government agency such as Federal, State, County, City, or Town and designated by the donor for a specific person or purpose. The County Director can and should solicit funds from their local county commissions and city councils. Examples are: Flex Funds, ILP Funds, Welfare Reform Funds. In current system called AFNS, this is fund #2. (See Appendix H, for listing of several statewide Public Earmarked accounts)

Private General: Donated by non-governmental organizations such as churches, civic clubs, charitable organizations, and individuals and not restricted by the donor for a specific person or purpose. In the current system called AFNS, this is fund #3.

Private Earmarked: Donated by non-governmental organizations such as churches, civic clubs, charitable organizations, and individuals, and designated by the donor for a specific family, individual, program, or purpose. In the current system called AFNS, this is fund #4. Social Security benefits, Veteran's benefits and Supplemental Security Income (SSI) benefits are included in this classification because they are the property of a specific person (foster child). Private earmarked donated funds will be spent according to the purpose of the fund and the intent or request of the donor, subject to the limitations established by the Department and applicable law. However, a donor may not determine eligibility; DHR must determine eligibility for expenditures of donated funds in accordance with established policy.

Miscellaneous: Refunds that are deposited in the local funds account for overpayments to clients and other funds not meeting any of the other definitions of Public and Private funds. In the current system called AFNS, this is fund #5.

## **3.3 DESIRED ACCOUNTING SYSTEM**

### **3.3.1 BASIC REQUIREMENTS**

DHR is seeking an Enterprise Accounting System (EAS) that allows County Directors and their designees in county offices across the state to carry out the basic accounting functions described below. The EAS must provide the following basic features:

#### **3.3.1.1-TIERED SECURITY**

The EAS software must allow County Directors and their designees access to their county's financial data only; State Office staff must have access to financial data for all counties.



### **3.3.1.2 GENERAL LEDGER**

The EAS software must allow for fund accounting with multiple subsidiary accounts; also allow for a soft closing period.

### **3.3.1.3 ACCOUNTS PAYABLE**

- a. Provide the capability to add and lookup vendors by name, FEIN, etc.
- b. Provide the capability to add multiple object codes to subsidiary accounts
- c. Allow users to generate checks from data input into the EAS
- d. Allow users to void checks
- e. Allow users to generate/print paper checks with detailed information to a dedicated printer

### **3.3.1.4 ACCOUNTS RECEIVABLE**

- a. Provide the ability to maintain multiple funding sources
- b. Provide the ability to post and track deposits

### **3.3.1.5 REPORTS**

- a. Allow State Office Users to generate, print IRS Form 1099s, and e-file to IRS
- b. Allow users to generate and print monthly activity reports
- c. Allow users to create or customize reports
- d. Allow users to schedule all reports and extracts for automatic running and distribution
- e. Vendor should give an overview of reporting capabilities

### **3.3.1.6 MISCELLANEOUS**

- a. Allow users to export data in Excel, csv, etc., format
- b. Must work on Windows 10
- c. Must work on Internet Explorer 11, Edge, and Chrome browsers
- d. Must manage access through login/password, permission levels (admin, standard user, power user, etc.) and user activity monitoring

### **3.3.2 SYSTEM USERS**

DHR anticipates a total of approximately 270 staff who will use the EAS. Each of Alabama's 67 counties has a County DHR Director. Typically, each Director will have a primary and backup staff member assigned to handle basic financial and accounting functions for that county. Some of the larger counties have several Accounting staff that need approximately 29 end-users. There will also be around 40 staff that needs access to the EAS at the State Office which brings the total user estimate to around 270.

## **3.4 LOCAL FUNDS**

Local Funds, which includes Flex Funds, ILP Funds, Welfare Reform Initiative Funds, Kinship Care Funds, Multi-Needs Child Funds, APS Emergency Funds, and privately donated funds, are considered to be "Public Funds" or "State Funds".

### **3.4.1 FLEX FUNDS**

Flex Funds are to be used to pay for the costs of services for which there are no free or donated resources. County supervisors review all Individual Service Plans or case plans, which obligate funds and should approve all Purchase Orders (PO). All goods or services are listed in the ISP and **must** be allowable under Local Funds policy. Supervisors will then ensure that service authorizations are not automatically set to the maximum number of units. (see Section APPENDIX G, MEDICAID REHAB SERVICE and see Section APPENDIX H, for listing of statewide Public Earmarked accounts)

### **3.4.2 PRIVATE EARMARKED CLIENT ACCOUNTS**

Private earmarked client accounts are the property of the child and are not Departmental (State) funds, they are exempt from some standard Local Funds policy. SSI and SS programs are both administered by the SSA, these programs have different funding sources and have different regulations. SSI is paid for the current month and should be used for that month. SS is paid for the previous month and has no stipulations that the funds must be used in the month in which it is received. (see Section APPENDIX F, for list of Object Codes)

### **3.4.3 WELFARE REFORM INITIATIVE FUNDS**

Welfare Reform Initiative Funds (JOBS) are to be used to pay for the costs of services to participants for which there are no free or donated resources. All expenditures on behalf of participants from this fund must be necessary, reasonable and **directly related** to employment, authorized training, or any approved activity, as directed. (see Section APPENDIX H, for listing of statewide Public Earmarked accounts)

### **3.4.4 KINSHIP CARE INITIATIVE FUNDS**

Kinship Care Initiative Funds are to be used to assist related caretakers of minor children, other than their own, in difficult circumstances in order to reduce the likelihood of the child being placed with a non-related caretaker. All expenditures on behalf of child(ren) in Kinship cases must be necessary, reasonable, and directly related to facilitating, stabilizing or maintaining the placement of related children in the home of a grandparent or other relative. (see Section APPENDIX H, for listing of statewide Public Earmarked accounts)

### **3.4.5 INDEPENDENT LIVING PROGRAM FUNDS**

Independent Living Program (ILP) Funds are those made available to County Offices at the local level through SDHR. ILP funds are received from a federal grant that places some restrictions on programmatic use. The use of ILP funds to support services to youth 14 and older who are currently in foster care. A portion of these funds must be used to serve eligible youth 18 to 21 who left foster care after they have reached age 18. The supports, services and/or activities should increase the youth's ability to become self-sufficient through improved self-esteem, confidence, skill development, education, and employment. (see Section APPENDIX F, for list of Object Codes and Section APPENDIX H, for listing of statewide Public Earmarked accounts)

### **3.4.6 MULTIPLE NEEDS CHILDREN FUNDS**

Multiple Needs Children (MNC) Funds are received from The Children's First funding that places some restrictions on programmatic use. The funds will be used to provide services to multiple needs children (0-18 years of age) identified by the County Children's Services Facilitation Team (CCSFT) or referred by the juvenile court. (see Section APPENDIX H, for listing of statewide Public Earmarked accounts)

### **3.4.7 ADULT PROTECTIVE SERVICES**

Adult Protective Services (APS) Funds are to be used to prevent or remedy abuse, neglect, or exploitation. Funds may be used to meet specific emergency needs of individual adults, which cannot be met by other Local Funds. The individual adult's needs may relate to uncovered medical expenses, services, or other emergency needs and must be part of the case plan. (see Section APPENDIX H, for listing of statewide Public Earmarked accounts)

## **3.5 DHR TECHNICAL ENVIRONMENT**

The Alabama Office of Information Technology (OIT) maintains the State network. The network is a standard TCP/IP routed network with each county being on independent, private data circuits. There is a centralized data center housing our application server farm that each county traverses the WAN to access.

DHR technical support is provided primarily from the Information Services Division (ISD), which is led by the ISD Director. The ISD Director reports to the Deputy Commissioner for Administrative Services. There are

three IT Managers that report to the ISD Director who are responsible for the Department’s infrastructure, systems development and maintenance, and services related to quality management.

The following sections detail the technical production environment within which the EAS system will operate.

**3.5.1 NETWORK ENVIRONMENT**

The State network environment is structured as follows:

- A. Each of the DHR offices has a local area network (LAN) and one or more servers;
- B. All DHR offices including remote sites are connected to the State’s wide area network (WAN);
- C. All DHR users log into a Windows Server;
- D. Access privileges are managed and administered at the user level;
- E. All DHR sites have e-mail;
- F. All DHR sites have internet access;
- G. The network links are either 100mbps or 1000mbps switched to the desktop;
- H. All remote sites are connected with at least 10mbps circuits between the remote sites and Montgomery;
- I. The WAN is based on the TCP/IP protocol suite and is standardized on routers and switches;
- J. The network operating system is Windows 2012 R2; and
- K. The approximate number of user sites is 115.

**3.5.2 MINIMUM CLIENT WORKSTATION SPECIFICATIONS**

Departmental staff members use desktop workstations with the following minimum specifications.

<b>Component</b>	<b>Specification</b>
Model	HP 800 G4
Memory	16GB SDRAM
CPU	3.2GHz
Disk Space	1TB
CD-ROM	CD/DVD-RW
Floppy Disk	NONE
OS	Windows 10 Ver 1909
Communication Protocols	TCP/IP
Database Communication Support	Client Application Enabler/ODBC
Mail	Exchange Online Office 365
Word Processor	MS Office 2016 / MS Word 2016
Web Browser	Internet Explorer 11/ Edge

**3.5.3 MINIMUM FILE SERVER SPECIFICATIONS**

The State of Alabama DHR ISD server farm includes file servers with the following minimum configuration

<b>Component</b>	<b>Specification</b>
Model	HP ML350 G10
Memory	16GB DDR4 SDRAM
CPU	Intel Xeon Silver 4208

Disk Space	RAID 5 2TB
OS	Windows Server 2019
Communication Protocols	TCP/IP

### 3.5.4 STATE OF ALABAMA MAINFRAME SPECIFICATIONS

The State of Alabama DHR CIS server farm includes file servers with the following minimum configuration.

Component	Specification
Model	IBM 2066-003 Z Series 800 Processor
Memory	16 GB Real Memory
CPU	499 MIPS Internal Speed w/3 Processors
OS	Z/OS
Ethernet	3 OSA Ethernet GB, 2 OSA Express Fast Ethernet
Channels (All ESCON)	92
Database	DB2 version 7 – tentatively planning to upgrade to version 8 in Spring 2006
COBOL	Enterprise COBOL
Application Development	Enterprise COBOL, CICS TS for Z/OS

## **3.6 PROJECT MANAGEMENT**

### **3.6.1 DELIVERABLES**

This section outlines the expected project tasks for the EAS project along with the deliverables to be produced. The Vendor may propose a project approach that is based on different tasks so long as the underlying activities are completed and required deliverables are produced. In the event that the Vendor has proposed additional deliverables as necessary to meet State requirements within their proposed methodology, such deliverables must be documented in Section 4.2.5.3.1 Service Delivery Approach. The Vendor may, with State approval, consolidate related deliverables into a single document so long as each deliverable is adequately addressed and clearly delineated so that the State can easily determine which deliverables are included.

All work performed by the Vendor during the project will be monitored and reviewed by the State or its designated agent(s). A project such as the EAS will require the coordination of skilled information technology professionals and effective communications both within the project organization and to external stakeholders. The following ongoing project management activities focus on ensuring that project resources are used efficiently and that the project outcome delivers the desired product. As the Department is seeking a software-as-a-service model, the Department expects to receive user licenses for each of its users to the EAS. All data is expected to be owned by the Department.

At the completion of the implementation phase, the agreement will enter the maintenance and support phase. The Vendor must continue to maintain and support the EAS on an ongoing basis for the duration of the agreement. For the purposes of this agreement, maintenance and support includes all tasks and activities necessary to keep the EAS available and fully operational for all DHR users, free of defects, available during the hours specified in this agreement, and updated with the latest versions of the system software.

Most Project Tasks are led and conducted by the Vendor with the support and oversight of the State. Where it is known that the Vendor will play an advisory or support role in a State-led activity, it will be noted in the associated discussion. A summary of the Project Management can be found in Appendix I and should be used to track each task.

#### **TASK 1: PROJECT COORDINATION**

A project such as the EAS development and implementation will require the coordination of skilled information technology professionals and effective communications both within the organization and to external stakeholders. Ongoing project management activities focus on ensuring that project resources are used efficiently and that the project outcome delivers the desired product.

##### **Task 1.1: Project Initiation**

Task 1.1 is focused on those activities that must be completed to ensure that the project starts on a firm foundation and that the stakeholders are actively involved in decision making and direction setting. Specific Vendor-conducted activities include creating a project work plan and project schedule; creating a project staffing plan, including staffing levels and location of staff, for duration of project; creating a project risk management plan, assessing project risks and mitigation strategies from the Vendor's perspective; and establishing appropriate EAS team workspace and facilities.

All Vendor-produced Task 1.1 deliverables are due to the State no later than 30 days after EAS project initiation.

### **Task 1.2: Conduct Ongoing Project Management**

Managing the activities required to acquire and modify the EAS system will require extensive project management, coordination, and controls. For this purpose, this subtask identifies the following Vendor-led activities that will occur throughout the duration of the project: The vendor will have to update the project work plan; conduct project team meetings; monitor progress toward the development and implementation plan and key milestones; manage open issues; coordinate project team activities; brief stakeholders on project progress (jointly with State project leaders).

The Vendor should submit proposed formats for the following items to the State for approval.

- Weekly Work Plan/Schedule Updates;
- Open Issues Management Report – tracks open issues related to the system and project;
- Weekly Status Report – provides an overview of the status of the project and a summary of key events from the prior week as well as a look ahead at key events in the upcoming week.

### **TASK 2: REQUIREMENTS DETERMINATION**

At completion of this task, the EAS team will have a clear understanding of the system requirements and will have defined the core components to be retained from, removed, or added to any foundation system.

#### **Task 2.1: Existing Requirements Validation**

This step will require the system Vendor to perform the following subtasks: Validate existing EAS requirements. This will involve joint sessions with appropriate state and county DHR staff to review all requirements and ensure that the Vendor’s understanding of the requirement conforms to that of the State; modify, clarify, and add detail to system requirements as necessary; review and validate business process workflows; and maintain a mapping and traceability of requirements as they are allocated to design units. This process facilitates ongoing visibility into how the implemented solution supports all user and technical requirements.

The vendor should provide revised Requirements Document and revised Business Process Workflows with updated workflows as a result of the requirements validation process; The vendor should also provide Requirements Traceability Matrix to cross-reference the requirements to the base system’s functional components which is AFNS.

This deliverable will prompt a project go/no-go decision by the State.

#### **Task 2.2: Base System Gap Analysis (If Applicable)**

If the chosen Vendor uses an existing system as a base for the EAS project, this task is required. Using the Revised Requirements Document created in Task 2.1 above and the base system (AFNS), this step will require the system Vendor to perform the following subtasks:

- Update the Requirements Traceability Matrix to map the EAS requirements to the base system’s functional components (AFNS);
- Analyze base system functionality gaps;

The vendor should provide the following:

- Revised Requirements Traceability Matrix – matrix updated to cross-reference the requirements to the base system’s functional components;
- Base System Gap Analysis – identifies the “gaps” between the base system’s functional components and the requirements;

- Base System to EAS Transition Plan – describes in detail how the Vendor intends to transition from the base system to the new application, specifically laying out strategies for addressing the gaps identified in the Base System Gap Analysis.

**Note:** If a base system is used in the EAS project, the Vendor will be required to provide to the State the base system and all associated artifacts in the time and manner necessary for timely project progress.

This deliverable will prompt a project go/no-go decision by the State.

### **Task 2.3 Develop Application Strategy**

This task will include the development of a Preliminary Design Document for the new EAS application.

Preliminary Design Document – provides a high level overview of how the Vendor intends to meet the validated requirements; at a minimum, the Preliminary Design must include descriptions of the application, assumptions and constraints, an approach overview, functional specifications/requirements for the systems and sub-systems, approaches to meet the requirements, design variants and selection of design, block diagrams for system and sub-systems, descriptions of the systems and sub-systems, and interfaces for all software modules.

- This deliverable will prompt a project go/no-go decision by the State.

### **Task 2.4: Update Disaster Recovery Plan**

The Vendor will be responsible for determining the disaster recovery plan that is necessary to maximize uninterrupted access to the new EAS application and data. This task at a minimum should include the following:

- Program recovery capability descriptions and instructions;
- Information describing retention and storage of backup of files and software;
- Application system backup and recovery that is composed of information on all processes, files/database, restart procedures, and backup and recovery procedures;
- Operations Manual which supports the Production Control needs of the new EAS Solution
- In conjunction with State, update and test the State Disaster Recovery Plan.

### **Task 2.5: Security Architecture**

This task will focus on designing the security for user access either internal or external to DHR to the new EAS application to meet the security needs of DHR. The Vendor must ensure that the new EAS system safeguards access to data and modules in the system. Users who are not authorized to access certain applications and/or data will be prohibited from retrieving, viewing, using, or otherwise acquiring access. Security privileges will be tied to roles and administered by State staff. The Office of Audit and DHR ISD Office will manage access to the system (Internet and Intranet) and will manage network access security. The following activities are involved in this task:

- Create a security plan that details at a minimum;
- Any DHR environmental or technical factors that raise special security concerns;
- Rules for interconnecting applications;
- A privacy impact assessment;
- Security threats, vulnerabilities, and additional security controls required to mitigate risks;
- Proposed EAS user rules of behavior delineating responsibilities and expected behavior of all individuals with access to the EAS system;
- EAS role-based security profiles consistent with the requirements as set out in the previous Accounting system.
- Work with DHR ISD staff and the Office of Audit to manage and coordinate solutions to any security issues arising from changes to EAS application or database.

The vendor should provide the Security Plan, Security Risk Assessment, Security Control Plan, Revised Requirements Traceability Matrix, and Security Evaluation/Test Procedures and Results.

This deliverable will prompt a project go/no-go decision by the State.

### **TASK 3: INTEGRATION, LOAD, AND ACCEPTANCE TESTING**

#### **Task 3.1: Prepare for Testing**

In order to test the EAS modules, various preparations will be required.

- In conjunction with the State, the vendor must develop integration, load/performance, and acceptance test plans including activities such as test scenarios, mapping of test coverage to the Requirements Traceability Matrix, and resulting regression test plan;
- Develop integration, load/performance, and acceptance test scripts based on test plans and detailed design specification;
- Create a test environment that mirrors the anticipated production system and contains all needed automated testing tools;
- Define test data;
- Establish error-reporting and resolution process.

The vendor should provide the Master Test Plan, Integration Test Plans, Load/Performance Test Plans, Pre-Acceptance Test Plans, Error-Reporting and Resolution Process; and Test Environment including automated test tools

The **Integration Testing, the Load/Performance Testing, and Pre-Acceptance Testing** deliverables will prompt a project go/no-go decision by the State.

#### **Task 3.2: Conduct Acceptance Test (State-Led)**

During this task, State subject matter experts from DHR State and county offices will test the EAS components to ensure the application is robust enough for field processes. This will be a State-led activity with support from selected County Finance Officers. The testing team, composed of SMEs from DHR State and county offices, will enhance and modify the procedures, test scripts, and testing tools previously developed to test, and, if necessary, retest the applications and document the results. It is the State's preference to perform user acceptance testing in a modular fashion rather than attempt to test all functional components of the system at the same time. The testing team may visit the vendor or potential vendor facility to review functional components during any period of this RFP as mentioned in Section 6.0, Evaluation Criteria.

#### **State-Conducted Task 3.2 Activities:**

- Develop Acceptance Test Plan with clear exit-criteria in accordance with the General Plan as detailed in Task 3.1;
- Identify and schedule testing team;
- Conduct tests and record results;
- Conduct regression test.

#### **State-Produced Task 3.2 Deliverables:**

- Acceptance Test Plan;
- Acceptance Test Results.



### **Vendor-Conducted Task 3.2 Activities:**

- Coordinate correction of identified errors with development team;
- Prepare new/modified components for inclusion into the EAS application;
- Update the Requirements Traceability matrix to document how the EAS requirements were and were not met by the system as tested and any existing gaps that still exist.

### **Vendor-Produced Task 3.2 Deliverables:**

- EAS Modification Plan;
- Necessary changes made to EAS system;
- Updated Requirements Traceability Matrix.

Acceptance testing involves providing the users an opportunity to evaluate the system and determine if their requirements have been fully addressed. The acceptance test team will be comprised of SMEs from DHR State and county offices who are proficient in the various functional areas being tested.

This deliverable will prompt a project go/no-go decision by the State.

### **Task 3.3: Certify the System as Ready for Pilot**

When integration and acceptance testing is complete, it will be possible to assess the testing results and make appropriate changes. Once the system has been tuned, it will be possible to certify the system as being ready for pilot testing.

Once the decision has been made to go forward with pilot, the user community will be prepared for the pilot test. Training will be provided by the Vendor and will be supported with appropriate training materials and exercises. Trainees will be provided with appropriate process and application reference materials for future use. The State will entertain proposed pilot solutions from vendors but anticipates a two to three county pilot for a period of not less than two months followed by a phased rollout of the system over the following three to six months. Should the vendor's solution propose to deliver the system in functional components, pilot operations would necessarily be repeated for each functionality being deployed. The State is receptive to vendor suggestions as to the most efficient way to accomplish multiple pilot iterations for this type approach.

The vendor should provide the Testing Certification, Summary, and Recommendation. The provider should also provide any necessary changes made to EAS system.

This deliverable will prompt a project go/no-go decision by the State.

### **Task 3.4: Prepare for General Rollout**

After analyzing the results of the pilot test, the State will determine the effectiveness of the pilot system. Revisions to the system and training procedures will be required in order to tune the system for optimal performance. As implementation of the system proceeds, the performance and condition of the application will be assessed on an ongoing basis and go/no-go decisions will be made following each implementation.

This effort will encompass the following subtasks:

- Evaluate effectiveness of pilot;
- Implement changes to training and associated materials;
- Implement documentation changes;
- Implement operational changes;
- Implement final pilot-specified EAS system changes;
- Tune system performance;

- Establish and implement problem-reporting and tracking processes to be used for the statewide system rollout.

Once these activities have been completed, it will be possible to implement the system using the Vendor's proposed Implementation approach as approved by the State.

The vendor should provide Revised Training Plan, Revised User, Training, and System Documentation, General Rollout Support and Operations Plan, and General Rollout Implementation Plan

This deliverable will prompt a project go/no-go decision by the State.

### **Task 3.5: Implementation**

In this task, the Vendor will deploy the new EAS that has been tested and accepted by the State in previous tasks.

To implement the new system components successfully, the following activities will be required:

- Identify system users;
- Implement security profiles as set out in Task 2.4;
- Prepare State operations staff for implementation;
- Monitor performance and identify problems;
- Evaluate system reliability and performance;
- Modify the EAS system to address problems discovered during the implementation.

The Vendor will implement and configure the new system throughout the State using the Vendor's proposed Implementation approach as approved by the State. The Vendor will work with DHR ISD and DHR program staff to accomplish this deployment and verify that it has been completed successfully.

The vendor should provide the Statewide operational EAS system, modified to address problems discovered during the implementation; Implementation Report; and Ongoing statewide implementation support.

This deliverable will prompt a project go/no-go decision by the State.

## **TASK 4: DOCUMENTATION, TRAINING, AND TRANSITION PREP**

Based on the EAS system design, the Vendor, DHR ISD and Office of Audit staff will develop system documentation and training materials, including user documentation and technical specification documents. The training will address primarily user education but will also provide tutorials for technical staff.

### **Task 4.1: Develop Training**

The Vendor will work with DHR to develop detailed plans, documentation, procedures, and presentation materials for conducting training of the new EAS. Due to the COVID19 pandemic, the following activities may have to be completed virtually:

- Define training goals and requirements;
- Create Microsoft TEAMS-based or Classroom-based training curriculum;
- Create Microsoft TEAMS -based or Classroom-based training materials;
- Create self-directed, computer-based training modules;
- Create self-directed, computer-based training curriculum.

The self-directed, computer-based training curriculum must be comprehensive and policy-based and will be used both to train new DHR employees and as refresher training for veteran staff. The self-directed, computer-

based training must be structured in a component-based manner, allowing users to select training modules for the specific areas where training is needed. The self-directed, computer-based training must also provide progress metrics for workers to determine their success with meeting training objectives. All self-directed, computer-based training modules must be made available to users via the DHR Intranet or Internet.

Training materials must be developed with the end user in mind and must be easily understood by both trainers and trainees.

The vendor should provide the Approach to training; Training Curriculum; Training Material; Self-directed training, computer-based modules and User Guide; and Proposed schedule for implementation of pilot and statewide training.

This deliverable will prompt a project go/no-go decision by the State.

#### **Task 4.2: Create/Modify User Documentation and Online Help**

This subtask focuses on developing extensive system documentation that will be utilized by end users. The Vendor will be responsible for creating desktop versions and developing online help features.

- The following steps should be taken to develop comprehensive user documentation:
- Create/modify user manual; designed to guide end users step-by-step through EAS functional areas such as entering disbursements, entering receipts, creating vendors, running reports, etc. The manual must also include navigation instructions, menu selections, error messages, assignments, searches, narratives, forms and correspondences, and detailed instructions on how to perform system tasks;
- Create/modify quick reference desktop guide; a high-level guide focused towards new end users designed to take them through the most common procedures for the various functionalities.
- Create/modify online help.

As with training materials and curriculum, user manuals and desktop help feature must be comprehensive and simple to understand.

The vendor should provide a User Manual; Desktop Guide; and Online help system in place.

This deliverable will prompt a project go/no-go decision by the State.

#### **Task 4.3: Deliver End-User Training**

It is anticipated that training will be conducted in a team manner. The Vendor will be responsible for training delivery along with training State staff to assume ongoing training and end user support functions. This process will involve the following subtasks:

- Develop training strategy, including plans for training State trainers;
- Schedule training;
- Conduct training.

Coordinating training sessions will be a high priority and should be done well in advance of the planned classes to allow for the resolution of scheduling conflicts. In an effort to ensure that training is timely and relevant, the Vendor must provide training to users within three (3) weeks of implementation in user's respective sites/counties. Due to COVID19, the vendor maybe required utilize Microsoft TEAMS or ZOOM to conduct the training sessions.

If the above source of training is not sufficient then the vendor is to conduct approved training session at the State's six computer training sites available, which the Vendor may include in their training strategy. The

computer training sites are located in Mobile, Rainbow City, Birmingham, Decatur, and two sites in Montgomery.

The vendor should provide Finalized Training Schedule/Plan; Training Materials/Curriculum delivered to trained EAS users; and Training Completion Summary.

This deliverable will prompt a project go/no-go decision by the State.

#### **Task 4.4: Technical Documentation and Training**

This task will focus on developing further system documentation, developing operating procedures, and planning and scheduling DHR ISD staff training. To provide adequate technical documentation and training, the following activities will be required:

- Create complete system documentation, including all EAS hardware, software, database, and infrastructural components and impacts;
- Develop operating procedures;
- In conjunction with the State, plan technical training of DHR ISD staff to ensure that post-warranty coding, enhancements, and maintenance of the EAS system can be conducted by DHR ISD staff if the system was customized and not a COTS;
- Provide system-specific training to staff.

Technical training will be required for staff that will be responsible for post-warranty coding, enhancements, and maintenance of the EAS system. Coordinating training sessions will be a high priority and should be done well in advance of the planned classes to allow for the resolution of scheduling conflicts.

The vendor should provide EAS hardware, software, database and infrastructure systems documentation; Revised Operational Procedures and fully trained DHR ISD staff.

This deliverable will prompt a project go/no-go decision by the State.

### **TASK 5: SUPPORT AND MAINTAIN NEW SYSTEM**

#### **Task 5.1: Warranty**

The Vendor will warrant that system functionality and operation is compliant with the requirements contained in this RFP and any other requirements mutually agreed to by the parties during the term of this contract. In the event that any such defects or omissions are discovered, the Vendor will fix them at no additional cost to the State. The date that the fully functional system is implemented in all DHR county offices will be the date that the deliverable entitled "Statewide Operational EAS System" is accepted by the State. System defects, as defined in this context, are defects that result in the system not meeting one or more requirements.

#### **Task 5.2 System Maintenance**

The Vendor will be responsible for the ongoing day-to-day maintenance and operation of the system. This is to ensure continuity in the operation of the system and to provide an adequate period of time for State staff to be trained to take over full responsibility for the operation and maintenance of the system. The cost of system maintenance during the warranty period is to be shown as part of the Vendor's cost proposal.

The vendor should provide a System Maintenance Plan.

#### **Task 5.3 System Modifications**

During the contract term, the State may request certain modifications be made which are outside the scope of this agreement. In these instances, the Vendor will assess the requested modification and provide the State with the cost and time needed to perform the modification. Cost will be based on the Change Order rates provided as part of the Vendor's proposal. The cost of potential modifications will not be part of the cost evaluation of the Vendor's proposal.

The Vendor's Implementation Methodology and Approach must outline the number and type of resources that will be available to support EAS during the warranty and maintenance period.

### **Task 5.5: Establish Help Desk**

The Vendor will be responsible for providing a help desk and end user support service beginning with the initiation of the Pilot Test through the end of the production rollout to all counties. The help desk will be available to aid EAS users with application, procedural, usability, and technical problems. The responsibility for the operation of the help desk remains with the Vendor.

In establishing the help desk, the Vendor will, at a minimum, complete the following activities:

- Define and outfit a help desk office space;
- Acquire and install required hardware and software for the Vendor-staffed help desk;
- Define and document help desk processes and procedures;
- Staff the help desk to meet the support needs of DHR during pilot and rollout;
- Operate and manage help desk operations during pilot and rollout;

The help desk will be responsible for documenting user problems, providing assistance where possible, and referring outstanding problems to the infrastructure support team, the application development team, or other resources required to resolve the user's problem. The help desk will be responsible for monitoring the resolution of problems and escalating problems that are not being addressed in a timely manner. The help desk will contact the reporting user before closing any problem report.

The vendor should provide an Operational Help Desk; Help Desk Facilities; Help Desk/Problem Management Software or System; Help Desk Process and Procedure Manuals; **and** Converted Help Desk Tracking Data.

### **3.6.2 REVIEW OF DELIVERABLES**

State Office will review all work after it is completed and submitted by the Vendor in accordance with the following:

- Completed deliverables and all supporting documentation shall be submitted for review and approval by the State on or before the dates specified in the project plan. The State has provided descriptive text for most deliverables in this section. The text provides specifics of what the State expects to see in the deliverables, but this list should not be considered exhaustive. The vendor is expected to provide context appropriate content for each deliverable.
- State office personnel shall review each deliverable submitted by the Vendor and shall determine within ten (10) working days of receipt whether or not the deliverable is acceptable based on the specifications set forth in the RFP. The State reserves the right to add additional review time, not to exceed a total of twenty (20) working days total, to any deliverable submitted by the Vendor that exceeds two hundred (200) pages, including supporting documentation.
- The Project Director will notify the Vendor in writing when a deliverable is accepted by the State.
- If a deliverable or any portion of a deliverable is not acceptable to the State, the Project Director shall notify the Vendor in writing. The written notice shall contain a detailed analysis and explanation of the deficiency(ies) leading to the State's rejection. From the point the notice of deficiency is issued, the

Vendor shall have five (5) days to cure the deficiency(ies) and resubmit the deliverable to the State. The State shall review the resubmitted deliverable within five (5) days and communicate its acceptance or rejection to the Vendor.

- The Vendor's repeated failure to timely submit acceptable deliverables shall be adequate cause for the State to exercise the penalty provisions of the contract up to and including termination.

## SECTION 4: PROPOSAL FORMAT AND INSTRUCTIONS

### 4.0 PROPOSAL REQUIREMENTS

Proposals must meet all requirements as specified in this RFP. Proposals must incorporate the specified structure and format; must be clear, detailed, and complete as to fully demonstrate that the prospective Vendor has a thorough understanding of the requirements for providing the services for this procurement. Statements that the Vendor understands, acknowledges, or can comply with the requirements/specifications and statements paraphrasing the specifications are considered inadequate as are phrases such as “industry standards will be adhered to” and/or “standard procedures will be implemented”, or “research-based models will be used”. Proposals must clearly and adequately describe the concepts and methodologies to be implemented by the Vendor. Information must be clear, succinct, and easily understandable.

### 4.1 COMPLETENESS OF PROPOSALS

Selection(s) and award(s) will be based on the Vendor’s proposal and other items described in this RFP. Proposals should not include references to information located elsewhere, such as Internet websites. Information or materials presented by Vendors outside the formal response or subsequent discussion/negotiation or “best and final offer,” if requested, will not be considered, will have no bearing on any award, and may result in the vendor being disqualified from further consideration.

### 4.2 PROPOSAL FORMAT

Proposals must not exceed **one hundred and fifty (150) pages**, including attachments and must be single-spaced, incorporating 1-inch margins, typed using Times New Roman (font), size 12, black print. Proposals must be printed/copied onto one side of standard (8½ x 11) white typing/copier paper. *Paragraphs must be double-spaced.* All proposals (the original and copies) must include labeled tabs that correspond with the bolded sections and subsections (titles and numbers) to which the information pertains as specified in Section 4 of this document. ***Do not use adhesive tabs (on pages of the proposal), tabs with paper inserts, sheet protectors, rings or prong fasteners.*** Vendors should avoid the use of elaborate presentations and binding materials beyond that which is sufficient to present complete and effective proposals. **Proposals that do not adhere to the specified format may be deemed non-responsive.**

#### 4.2.1 COVER SHEET

The first page of each proposal must be the completed **Cover Sheet** (RFP cover sheet) with an original ink signature of the person(s) legally authorized to bind the vendor to the proposal. **Proposals without signatures of persons legally authorized to bind the vendor to the proposal will be rejected.** The cover sheet must also include the name of the contact person and contact information of the person authorized to act on behalf of the vendor (do not number this page). Vendors must also provide their federal employer identification number and DUNS number. Also, denote the original proposal and copies by placing a check in the appropriate box on the cover sheet.

#### 4.2.2 TABLE OF CONTENTS

The Cover Sheet should be followed by the “**Table of Contents**”, which should list all sections, subsections and page numbers. Numbering of the proposal pages should begin with page 1 of the Table of Contents. Page numbers should be placed in the right corner of the bottom margin.

#### 4.2.3 LEGAL STATUS LETTER/CP575 OR TAXPAYER IDENTIFICATION NUMBER

The Table of Contents must be followed by a copy of the **Legal Status Letter** or a **CP575**. *These forms are issued by the IRS and denote an organization’s legal status (i.e., non-profit, for-profit, corporation, etc.) and include the Federal Employee Identification Number (FEIN).* If neither the Legal Status Form nor the CP575

are available, a completed and signed copy of the “**Request for Taxpayer Identification Number**” form (*Appendix B*) must be included. All items on this form must be completed.

#### **4.2.4 LICENSES/CERTIFICATES/CREDENTIALS**

The Legal Status Form or Request for Taxpayer Identification Number Form should be followed by a copy of all required **Licenses, Certificates, and Credentials** or a copy of a completed license application form submitted by the deadline specified in this RFP.

#### **4.2.5 TECHNICAL PROPOSAL**

Copies of Licenses/Certificates/Credentials, if applicable should be followed by the **Technical Proposal**. The Technical Proposal must prescribe to sections **4.2.5.1** through **4.2.5.4.6** below.

##### **4.2.5.1 VENDOR QUALIFYING INFORMATION**

###### **4.2.5.1.1 Vendor Profile and Experience**

Vendor must specify how long it has been in the business of providing services similar to those requested in this RFP and under what company name. Also list all names it has used when conducting business. Vendors must explain their expertise or history in the provision of such services or identify a nationally recognized model that has proven to be successful that will be used in the provision of services under this RFP. Vendors must provide an organizational profile including the number of employees and form of business (e.g. individual, sole proprietor, corporation, non-profit corporation, limited liability company.).

###### **4.2.5.1.2 Past and Present Contractual Relationships with the Department**

Vendors must describe any past or present contractual relationship it may have or have had with the Department or any other state agency including colleges/universities during the past three years. If the vendor, its predecessor, or any party named in their responses to this section has contracted with any department within State Government during the past three years, identify the contract number and other information available to identify such contract(s). If no such contracts exist, so declare. If any party named in the vendor’s response to this RFP was an employee of the State in the past two years, identify the individual(s) by name, agency by which employed, job title of position held, and separation date during the two-year period. If no such relationship exists, so declare.

###### **4.2.5.1.3 Contract Performance**

If the vendor, or any proposed Subcontractor, has had a contract terminated for default during the past five years, all such instances must be described as discussed below. Termination for default is defined as notice to stop performance delivery due to the vendor’s nonperformance or poor performance and the issue was either (a) not litigated due to inaction on the part of the vendor; or (b) litigated and such litigation determined the vendor to be in default. Submit full details of all terminations for default experienced by the vendor during the past five years, including the other party’s name, address, and telephone number. Present the vendor’s position on the matter. The Department will evaluate the facts and may, at its sole discretion, reject the vendor’s Proposal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the vendor. If the vendor has experienced no such terminations for default in the past five years, so declare. If at any time during the past five years, the vendor has had a contract terminated for convenience, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination. If no such early terminations have occurred, so declare.

Failure to report on the foregoing or if the information furnished is determined to be inaccurate, whether by omission or commission, shall result in rejection of the vendor’s Proposal.



No points will be assigned to proposals submitted by new or current vendors who have performed their contractual obligations satisfactorily. **However, current vendors who have performed unsatisfactorily may experience point deductions up to a maximum of 10 points.**

*Note: The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

#### **4.2.5.1.4 Project Staff/Resumes/Job Descriptions**

Vendors must submit a resume or job description detailing the level of education, experience, training, skills, etc. which emphasizes previous experience in the service area as described in this RFP for all key personnel who will be involved with the proposed project. Vendors must indicate that they have sufficient staff to perform the services required in this RFP. If sufficient staff is not currently available, describe how staff will be obtained to provide the services and the timeline for obtaining the needed staff. Indicate the number of anticipated staff for each position title. List all professional licenses held by the key staff.

#### **4.2.5.1.5 Staff Performance Evaluations and Training**

Vendors must describe their staff development program regarding orientation, on-going staff evaluation and training that will be implemented throughout the contract period to ensure delivery of effective services that adhere to the Department's required performance standards.

#### **4.2.5.1.6 Background Checks**

Statute further requires criminal background checks for DHR providers of direct services to children and vulnerable adults. Individuals who must have background checks include case workers, supervisors, homemakers, day care workers, foster care providers, members of foster care providers' households, substitute foster care providers, potential adoptive families, and volunteers. The background check process includes a search of the Child Abuse and Neglect Central Registry and Adult Protective Services records.

#### **4.2.5.2 VENDOR FINANCIAL STABILITY**

Vendors must submit an audited financial statement for year 2020 and letters from the auditor(s) who performed the 2019 and 2018 financial audits. Vendors of newly formed organizations, who have been in business less than one year must submit copies of any official quarterly financial statements (from a financial institution) that have been prepared since the end of the period reported by your most recent annual report.

#### **4.2.5.3 METHOD OF PROVIDING SERVICES**

##### **4.2.5.3.1 Service Delivery Approach**

Vendors must provide a detailed description of the work plan and the methods to be used that will convincingly demonstrate to the Department what the vendor intends to do, the timeframes necessary to accomplish the work, and how the work will be accomplished. Vendors must identify the counties/regions to be served by the proposed project. *All services as specified in Section 3: Scope of Project must be addressed in the Service Delivery Approach.*

##### **4.2.5.3.2 Start-up Plan**

Vendors must include a detailed project schedule that is comprised of the detailed work plan for the entire project. This section should also include any proposed additions to the tasks outlined in the *Section 3: Scope of Work*. **The selected vendor must be fully operational on Monday, November 01, 2021 in all 67 counties.**

##### **4.2.5.3.3 Assessment of Benefits and Impact**

Describe the process that will be used to assess the proposed services to determine if the expected benefits and their impact have occurred. Include on-going plans to continuously assess and modify services to better meet the needs of the target population. The assessment methodology should provide the Department with meaningful indicators that funded projects are making satisfactory progress toward desired goals.

#### **4.2.5.3.4 Office Location**

Vendors must provide the physical address where records will be maintained and services will be performed under a contract with the Department in the event the vendor is selected.

#### **4.2.5.4 VENDOR CERTIFICATIONS**

Vendors must submit a statement attesting that they warrant and represent to the Department that the vendor accepts and agrees with all certifications and terms and conditions of this RFP. Further, by submitting a response to this RFP, the vendor certifies to the Department that they are legally authorized to conduct business within the State of Alabama and to carry out the services described in this document.

##### **4.2.5.4.1 Revolving Door Policy**

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees is a current employee of the Department, and none of the said individuals have been employees of the Department in violation of the revolving door prohibitions contained in the state of Alabama ethics laws.

##### **4.2.5.4.2 Debarment**

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."

##### **4.2.5.4.3 Open Trade**

The vendor must attest 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.

##### **4.2.5.4.4 Standard Contract**

The vendor must agree to the use of the Department's standard contract document. The vendor will further comply with all the terms and conditions of that document, including, but not limited to, compliance with the Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, Alabama Act No. 2000-775 (governing individuals in direct service positions who have unsupervised access to children), the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as applicable, and all other federal and state laws, rules and regulations applicable to receiving funds from the Department to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP must be subject to review by the Department's legal counsel as to its legality of form and compliance with State contract laws, terms and conditions, and may further be subject to review by the Examiners of Public Accounts, the State Finance Director and the Office of the Governor.

##### **4.2.5.4.5 Charitable Choice (applies to faith-based organizations only)**

The vendor must attest that funds received as a result of this procurement will not be used for sectarian instruction, worship, proselytizing or for any other purely religious activities that are not directed toward the secular social goals related to the services described in this RFP. The vendor must agree to serve all eligible members of the public without regard to their religious beliefs and, further, must not require clients' active participation in any religious practice. (In carrying out the said services, the vendor will remain independent from federal, state and local governments; will retain control over the expression of its religious beliefs, and is NOT required to remove its religious writings or symbols or to alter its internal governance as a condition of doing business with the Department.)

##### **4.2.5.4.6 Financial Accounting**

Vendors must agree that the vendor's accounting system will be consistent with General Accepted Governmental Accounting Principles (GAAP). The vendor must maintain sufficient financial accounting records documenting all funding sources and applicable expenditure of all funds from all sources.

#### **4.2.5.4.7 Vendor Work Product**

The vendor must attest that the proposal submitted in response to this document is the work product of said vendor. If the proposal is determined not to be the work product of the vendor, the proposal may, at the Department's sole discretion, be rejected.

#### **4.2.5.5 ATTACHMENTS**

Vendors must include all applicable forms identified below as attachments (i.e., Attachment A, B, C, etc.), applicable forms must follow the Technical Proposal. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

##### **4.2.5.5.1 Disclosure Statement**

The Technical Proposal must be followed by a completed copy of the **Disclosure Statement**.

##### **4.2.5.5.2 Trade Secret Affidavit**

The Disclosure Statement must be followed by a completed copy of the **Trade Secret Affidavit** (*Appendix C*), if applicable.

##### **4.2.5.5.3 Certificate of Compliance**

The Trade Secret Affidavit must be followed by a completed copy of the **Certificate of Compliance** (*Appendix D*). **All proposals must include the Certificate of Compliance.**

##### **4.2.5.5.4 E-verify Memorandum of Understanding (MOU)**

The Certificate of Compliance must be followed by a copy of the **E-verify MOU**. **All proposals must include the E-verify MOU.**

##### **4.2.5.5.5 Immigration Status Form**

The E-verify MOU must be followed by a copy of the **Immigration Status Form**. **All proposals must include the Immigration Status Form.** (*Appendix J*)

## **SECTION 5: COST PROPOSAL**

### **5.0 COST PROPOSAL**

Vendors must submit a budget detailing all necessary expenditures for the proposed services. The budget information can be compiled in the manner specified in *Appendix E: Cost Proposal(optional)*.

#### **5.1 HOLDBACKS AND PRICING INFORMATION**

As a guarantee for the delivery of services required by this RFP, and the acceptance by the Department of those services in accordance with the specifications set forth in the RFP, in the event the vendor fails to deliver or perform the said services to the Department's satisfaction, the Department reserves the right to withhold part or all of any funds committed by the Department under any contract that may result from a proposal submitted in response to this RFP and to cancel the said contract without any resulting liability, present and future, to the Department or to the State of Alabama.

**SECTION 6: EVALUATION CRITERIA**

**6.0 EVALUATION CRITERIA**

The evaluation committee will review and evaluate the proposals according to the following criteria based on a **maximum possible value of 1,000 points**. Proposals failing to meet the requirements of this RFP may be deemed non-responsive or subject to point deductions. The point value assigned to each component of the **Technical Proposal and Cost Proposal** will be based on the following scoring scale.

Category	RFP Section	Point Value
<b>Vendor Qualifying Information</b>		<b>30% of points for a possible 300 points</b>
A. Vendor Profile and Experience	4.2.5.1.1	275
B. Past and Present Contractual Relationships with the Department	4.2.5.1.2	0
C. Contract Performance	4.2.5.1.3	0
D. Project Staff/Resumes/Job Descriptions	4.2.5.1.4	10
E. Staff Performance Evaluations and Training	4.2.5.1.5	5
F. Background Checks	4.2.5.1.6	0
G. Vendor Financial Stability	4.2.5.2	10
<b>Method of Providing Services</b>		<b>50% of points for a possible 500 points</b>
A. Service Delivery Approach	4.2.5.3.1	475
B. Start-up Plan	4.2.5.3.2	15
C. Assessment of Benefits and Impact	4.2.5.3.3	10
D. Office Location	4.2.5.3.4	0
E. Vendor Certifications	4.2.5.4.	0
<b>Cost Proposal</b>		<b>20% of points for a possible 200 points</b>
A. Cost Proposal	5.0	200

## SECTION 7: DEFINITIONS

### General Definitions:

**Soft Closing Period:** When the previous accounting period (month) is closed the day before the final “spool down”, usually on the 18<sup>th</sup>. This closing period denies Finance Officers access to makes changes to the previous months on the 18<sup>th</sup> of the current month.

**Purchase Order:** A legally binding document issued by the county department to a provider that indicates types, quantities, and agreed prices for the goods or services the provider will provide to the county department.

**Disbursement Authorization:** A financial document (DHR-BFM-682) used the County Directors to authorizes the disbursing of funds **prior** to any check being issued.

**ISP Plan:** a safety plan, case plan, or assessment used to determine what expenditure for good and services for immediate/short term risk.

**County Director:** The County Director is the executive officer of the County Department. [Code, 38-2-7]. All local Funds are places at the disposal the Director of the County.

**Finance Officer:** Each County DHR **must** have a designated Finance Officer to record financial transactions, reconcile financial records, and disburse funds. The County Director must also designate a backup to the Finance Officer.

**State Office (STATE DHR):** provides administrative and financial management services and support to the employees of the Department of Human Resources.

**Use Allowance:** A major component of indirect costs is an allowance for building and equipment use or depreciation. Two percent per year of building costs are allowed, and 6 2/3 percent per year of equipment costs are allowed. An organization may use the depreciation method in lieu of these use allowances.

### Deliverable Definitions

**Project Work Plan:** describes how the project will be managed to successful completion; plan should detail project organization, staff roles and responsibilities, project objectives, and stakeholder involvement;

**Project Schedule:** a detailed project schedule indicating the various project tasks, their duration, estimated start and completion dates, actual start and completion dates, critical paths, resources, dependencies, completion percentages, and milestones;

**Project Staffing Plan:** describes in detail how the Vendor plans to staff the project and includes an overview of the various positions, skill sets, experience requirements, and percentage of time spent on-site vs. off-site;

**Project Risk Management Plan:** details project risks from the Vendor’s perspective and proposes strategies for managing and mitigating these risks;

**Master Test Plan:** describes the overall testing process for the project, including the testing of conversion and interfaces, and defines the major testing phases and linkages between the test activities, resources, and schedules;

**Integration Test Plans:** describes the scope, approach, and schedule of the testing activities for the modules/programs being tested, including the features to be tested, tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;

**Load/Performance Test Plans:** describes the scope, approach, and schedule of the testing activities for testing the ability of the system to process large volumes of data, including the features to be tested, tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;

**Pre-Acceptance Test Plans:** describes the scope, approach, and schedule of the testing activities for system-wide testing to be done by the Vendor as a precursor to State-run User Acceptance Testing; test plan includes the features to be tested, testing tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;

**Integration Test Scripts:** details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;

**Load/Performance Test Scripts:** details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;

**Pre-Acceptance Test Scripts:** details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;

**Integration Test Matrix:** provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;

**Load/Performance Test Matrix:** provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;

**Pre-Acceptance Test Matrix:** provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;

**Security Plan:** provides an overview of the system's security approach, including details on the various user security profiles, permissions associated with each profile, and an overview of the interface security approach;

**Security Risk Assessment:** discusses the risk assessment process, identifying actual risks and recommendations for mitigating these risks;

**Security Control Plan:** illustrates the Vendor's plans for maintaining system security controls through reviews, audits and findings;

**Revised Requirements Traceability Matrix:** matrix updated to include all security controls to be automated in the new application;

**Security Evaluation/Test Procedures and Results:** evaluates and tests the security of the total system and its logical subsystems.

**General Rollout Support and Operations Plan:** plan should include operational facilities and equipment, production and operating procedures, quality control procedures, and help desk procedures;

**General Rollout Implementation Plan:** details the plan for implementing the system in the remaining counties following pilot; the plan includes an overview of conversion, interfaces, scope, system flow, systems components and description (jobs, PROCS, batch modules/programs, online modules/programs, parameters, backups, navigation, messages, online help, copybooks, events, ticklers, tables/files, layouts, templates, etc.), job specifics (description, run frequency, dependencies, parameters, special instructions, restart instructions, listing of job steps, etc.), assumptions and constraints.

## APPENDIX A: STANDARD TERMS AND CONDITIONS

**By submitting a response to request for proposal or acceptance of a contract, the vendor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.**

**ACCEPTANCE/REJECTION OF PROPOSALS:** The Department reserves the right to accept or reject any or all proposals, wholly or in part, and to make awards in any manner deemed in the best interest of the Department. Proposals will be firm for 180 days, unless stated otherwise in the text of the request for proposal.

**ACCESS AND RETENTION OF RECORDS:** The contractor agrees to provide the Department, Legislative Auditor, or authorized agents, access to any records necessary to determine contract compliance. The contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the Department or third party.

**ALTERATION OF SOLICITATION DOCUMENT:** In the event of inconsistencies or contradictions between language contained in the Department's solicitation document and a vendor's response, the language contained in the Department's original solicitation document will prevail. Intentional manipulation and/or alteration of solicitation document language will result in the vendor's disqualification and possible debarment.

**ASSIGNMENT, TRANSFER AND SUBCONTRACTING:** The contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the Department.

**AUTHORITY:** The following request for proposal, limited solicitation, or contract is issued under authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3<sup>rd</sup> Sp. Sess., p 817, §1.)

**CHARGE BACKS:** The Alabama Department of Human Resources and Medicaid will deduct federal charge backs from future payments.

**COMPLIANCE WITH LAWS:** The contractor must, in performance of work under the contract, fully comply with all applicable federal, department, or local laws, rules and regulations, including the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Any subletting or subcontracting by the contractor subjects subcontractors to the same provision. The contractor agrees that the hiring of persons to perform the contract will be made on the basis of merit and qualifications and there will be no discrimination based upon race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disability, or national origin by the persons performing the contract.

**DEBARMENT:** The contractor certifies, by submitting this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the contractor cannot certify this statement, attach a written explanation for review by the Department.

**DISABILITY ACCOMMODATIONS:** The Department does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services, or activities. Individuals, who need aids, alternative document formats, or services for effective communications or other disability-related accommodations in the programs and services offered, are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.



**FACSIMILE RESPONSES:** Facsimile responses will not be accepted for requested for proposals or limited solicitations.

**FAILURE TO HONOR PROPOSAL:** If a vendor to whom a contract is awarded refuses to accept the award (contract) or, fails to deliver in accordance with the contract terms and conditions, the Department may, in its discretion, suspend the vendor for a period of time from entering into any contracts with the Department.

**FORCE MAJEURE:** Neither party shall be responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the non-performing party, so long as such party is using its best efforts to remedy such failure or delays.

**FOREIGN CORPORATIONS (OUT-OF-STATE FIRMS):** Alabama law provides that a foreign corporation (out-of-state company/firm) may not transact business in the state until it obtains a certificate of authority from the Secretary of State, Section 10-2B-15.01, Code of Alabama 1975. To obtain form for a certificate of authority, contact the Secretary of State, Corporation Division, (334) 242-5324. Not having this certificate does not keep the vendor from registering.

**HOLD HARMLESS/INDEMNIFICATION:** The contractor agrees to hold the Department, its elected and appointed officials, agents, and employees, while acting within the scope of their duties as such, harmless from and against all claims, demands, causes of action of any kind or character, including the cost of defense thereof, arising in favor of the contractor's employees or third parties on account of bodily or personal injuries, death, or damage to property arising out of services performed or omissions of services or in any way resulting from the acts or omissions of the contractor and/or its agents, employees, representatives, assigns, subcontractors, except for acts of omission resulting from the sole negligence of the Department, under this agreement.

**LATE PROPOSALS:** Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely the vendor's risk to assure delivery at the designated office by the designated time. Late proposals will not be opened and may be returned to the vendor at the expense of the vendor or destroyed if requested.

**REGISTRATION WITH THE PURCHASING DIVISION:** Any business intending to transact business in Alabama must register with the Alabama Purchasing Division by completing the Vendor Disclosure Statement. A copy of the Vendor Disclosure Statement can be downloaded from the Purchasing website at [www.purchasing.alabama.gov](http://www.purchasing.alabama.gov).

**SEVERABILITY CLAUSE:** A declaration by any court, or any other binding legal source, that any provision of the contract is illegal and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

**SOLICITATION DOCUMENT EXAMINATION:** Vendors must promptly notify the Department of any ambiguity, inconsistency, or error, which they may discover upon examination of a solicitation document.

**TERMINATION OF CONTRACT:** Unless otherwise stated, the Department may, by written notice to the contractor, terminate the contract in whole or in part at any time the contractor fails to perform the contract.

**UNAVAILABILITY OF FUNDING:** The Department, at its sole discretion, may terminate or reduce the scope of the contract if available funding is reduced for any reason.

**U.S. FUNDS:** All prices and payments must be in U.S. dollars.



**APPENDIX C: TRADE SECRET AFFIDAVIT**

**Alabama Department of Human Resources  
AFFIDAVIT FOR TRADE SECRET CONFIDENTIALITY**

DEPARTMENT OF \_\_\_\_\_ )  
County of \_\_\_\_\_ )ss.

\_\_\_\_\_ (Affiant), being first duly sworn under oath, and representing \_\_\_\_\_ (hereafter "Vendor"), hereby deposes and says that:

1. I am an attorney licensed to practice in the State of \_\_\_\_\_, representing the Vendor referenced in this matter, and have full authority from the Vendor to submit this affidavit and accept the responsibilities stated herein.
2. I am aware that the Vendor is submitting a proposal to the Alabama Department of Human Resources for RFP # \_\_\_\_\_. Public agencies in Alabama are required by Alabama law to permit the public to examine documents that are kept or maintained by the public agencies, other than those legitimately meeting the provisions of the Alabama Trade Secrets Act, Alabama Code Section 8-27-1, and that the Department is required to review claims of trade secret confidentiality.
3. I have read and am familiar with the provisions of the Alabama Trade Secrets Act, am familiar with the case law interpreting it, and understand that all information received in response to this RFP will be available for public examination except for:
  - (a) trade secrets meeting the requirements of the Act; and
  - (b) information requested by the Department to establish vendor responsibility unless prior written consent has been given by the vendor.
4. I am aware that in order for the Vendor to claim confidential material, this affidavit must be fully completed and submitted to the Department, and the following conditions must be met by the Vendor:
  - (a) information to be withheld under a claim of confidentiality must be clearly marked and separated from the rest of the proposal;
  - (b) the proposal may not contain trade secret matter in the cost or price; and
  - (c) the Vendor's explanation of the validity of this trade secret claim is attached to this affidavit.
5. I and the Vendor accept that, should the Department determine that the explanation is incomplete, inadequate or invalid, the submitted materials will be treated as any other document in the department's possession, insofar as its examination as a public record is concerned. I and the Vendor are solely responsible for the adequacy and sufficiency of the explanation. Once a proposal is opened, its contents cannot be returned to the Vendor if the Vendor disagrees with the Department's determination of the issue of trade secret confidentiality.
6. I, on behalf of the Vendor, warrant that the Vendor will be solely responsible for all legal costs and fees associated with any defense by the Department of the Vendor's claim for trade secret protection in the event of an open records request from another party which the Vendor chooses to oppose. The Vendor will either totally assume all responsibility for the opposition of the request, and all liability and costs of any such defense, thereby defending, protecting, indemnifying and saving harmless the Department, or the Vendor will immediately withdraw its opposition to the open records request and permit the Department to release the documents for examination. The Department will inform the Vendor in writing of any open records request that is made, and the Vendor will have five working days from receipt of the notice to notify the Department in writing whether the Vendor opposes the request or not. Failure to provide that notice in writing will waive the claim of trade secret confidentiality and allow the Department to treat the documents as a public record.

Documents that, in the opinion of the Department, do not meet all the requirements of the above will be available for public inspection, including any copyrighted materials.

\_\_\_\_\_  
Affiant's Signature

Signed and sworn to before me on \_\_\_\_\_ (date) by \_\_\_\_\_  
\_\_\_\_\_ (Affiant's name).

Name of Notary Public: \_\_\_\_\_ for the

Department of: \_\_\_\_\_

My Commission Expires: \_\_\_\_\_

**APPENDIX D: CERTIFICATE OF COMPLIANCE**

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. "Business entity" shall include, but not be limited to the following:

- a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, 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, 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. 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

<b>APPENDIX E: COST PROPOSAL EXAMPLE</b>
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<b>Contract Number:</b>			<b>Taxpayer ID#:</b>
<b>Agency:</b>			
<b>Address:</b>			
<b>Project Title:</b>			
<b>Budget Period:</b>	<i>November 01, 2021</i>	<i>September 30, 2024</i>	

CATEGORIES	PROPOSED COST
<b>Personnel/Fringe Benefits</b>	\$
<b>Subcontract</b>	\$
<b>Travel</b>	\$
<b>Space</b>	\$
<b>Supplies</b>	\$
<b>Equipment</b>	\$
<b>Other</b>	\$
<b>Total Project Funds</b>	\$

## APPENDIX F: LOCAL FUNDS OBJECT CODES

- Object codes 6003, 6005, and 6007 **must** be used for all disbursements from private earmarked clients' (foster children's) accounts.

<u>Aid to the Permanently &amp; Totally Disabled</u>	6003 (use for all SSI children)
<u>Aid to Children in Foster Care</u>	6005 (use for all SS children)
<u>Other</u>	6007 (use for all other children)

- Object code 6006 **must** be used for all disbursements from account SW460000 (child support).
- Object code 6008 **must** be used for all disbursements for agency supplies, services, equipment, and other administrative costs that are usually paid from a Public General account.
- Object codes 6010 6011, 6012, 6013, 6014, 6015, 6016, and 6017 **must** be used for all Independent Living Program (SW213000) client-related expenses. Use 6008 for ILP supplies and food for meetings. See page 20-84 for outcomes and corresponding object codes.
- Object code 6100 **must** be used for all disbursements for children from the Multi-Needs account (SW270000). Use 6008 when returning funds to SDHR.
- The remaining object codes **must** be used for all other disbursements.

DESCRIPTION	Regular Object	E.A Object	Medicaid Object
<u>Intake Evaluation</u>	6201	7201	8201
<u>Treatment Plan Review</u>	6202	7202	8202
<u>Individual Family Support</u>	6203	7203	8203
<u>Group Family Support</u>	6204	7204	8204
<u>Individual Basic Living Skills</u>	6205	7205	8205
<u>Group Basic Living Skills</u>	6206	7206	8206
<u>Mental Health Consultation</u>	6207	7207	8207
<u>In-Home Intervention</u>	6208	7208	
<u>Physician Medical Assessment &amp; Treatment</u>	6209	7209	8209
<u>Diagnostic Testing by Psychologist</u>	6210	7210	8210
<u>Diagnostic Testing by Technician</u>	6221	7221	8221
<u>Diagnostic Testing by Computer</u>	6222	7222	8222
<u>Individual Counseling or Psychotherapy</u>	6211	7211	8211
<u>Family Counseling or Psychotherapy</u>	6212	7212	8212
<u>Group Counseling or Psychotherapy</u>	6213	7213	8213
<u>Child/Adolescent Day Treatment</u>	6214	7214	8214

DESCRIPTION	Regular Object	E.A Object	Medicaid Object
<u>Medication Administration</u>	6217	7217	8217
<u>Medication Monitoring</u>	6218	7218	8218
<u>Crisis Intervention</u>	6219	7219	8219
<u>Medical Trt/Hospital</u>	6102	7102	
<u>Rent</u>	6103	7103	
<u>Transportation</u>	6104	7104	
<u>Drug Screening</u>	6105	7105	
<u>Other</u>	6106	7106	
<u>Daycare</u>	6107	7107	
<u>Utilities</u>	6108	7002	
<u>Therapeutic Foster Care</u>	6109		
<u>Other Types of Placement</u>	6110		
<u>Baby Products</u>	6111	7006	
<u>Education/Training</u>	6112	7007	
<u>Clothes/Shoes</u>	6113	7008	
<u>Food</u>	6114	7010	
<u>Household Items</u>	6115	7012	
<u>Identification</u>	6116	7013	
<u>Medication</u>	6117	7014	
<u>Personal Hygiene Products</u>	6118	7015	
<u>Recreation</u>	6119	7018	
<u>Other Contract Costs</u>	6121	7023	
<u>GPS Training</u>	6122		
<u>Gifts</u>	6123		
<u>Sitter Service</u>	6124	7024	
<u>Optical</u>	6125	7025	
<u>Personal Grooming</u>	6126		
<u>Client Equipment</u>	6127		
<u>Auto Costs</u>	6128	7026	
<u>Insurance Premiums</u>	6129		
<u>Pest Control</u>	6130	7027	
<u>Child Care Institution</u>	6131		
<u>Child Care Institution/Shelter</u>	6132		
<u>DYS Licensed or Operated Facility</u>	6133		
<u>Group Home</u>	6134		
<u>Group Home/Shelter</u>	6135		
<u>Psychiatric Hospital</u>	6140		

DESCRIPTION	Regular Object	E.A Object	Medicaid Object
<u>Child Placing Agency</u>	6141		
<u>Tutoring</u>	6142		
<u>Respite Care</u>	6143		
<u>Medically Fragile</u>	6144		
<u>Out-patient Substance Abuse Treatment</u>	6145		
<u>Clothes-Uniforms</u>	6146	7146	
<u>School Supplies</u>	6147	7147	
<u>Drug Assessment</u>	6148	7148	

ILP Codes

As a result of the implementation of the National Youth in Transition Database (NYTD), the State is required to collect information on each youth who receives independent living services paid or provided by the State in 13 broad categories and to transmit this information to the Administration of Children and Families (ACF). In order to track this information, the following object codes must be used for all expenditures charged to the ILP subsidiary account (SW213000).

<u>Category</u>	<u>Code</u>
1. Education financial assistance	6011
2. Academic support	6011
3. Post-secondary educational support	6011
4. Career preparation	6012
5. Employment programs or vocational training	6012
6. Independent living needs assessment	6013
7. Budget and financial management	6013
8. Supervised independent living	6013
9. Housing education and home management training	6014
10. Room and board financial assistance	6014
11. Family support and healthy marriage education	6015
12. Mentoring	6016
13. Health education and risk prevention	6017



**APPENDIX G: MEDICAID REHAB MENTAL ILLNESS SERVICES**

Billing Code	Service Description	Maximum Units	Unit Rate
90801-HE	Intake Evaluation	Unlimited	\$128.54
H0032	Treatment Plan Review	8 units/year 2 units/quarter unit = 15 minutes	\$22.00
H2027	Individual Psychoeducational Services	416 units/year 8 units/day unit = 15 minutes	\$14.00
H2027-HQ	Group Psychoeducational Services	416 units/year 8 units/day/client unit = 15 minutes	\$4.00
H0036	Individual Basic Living Skills	1664 units/year 20 units/day unit = 15 minutes	\$14.00
H0036-HQ	Group Basic Living Skills	1664 units/year 8 units/day/client unit = 15 minutes	\$4.00
H0046	Mental Health Care Coordination	312 units/year 24 units/day/client unit = 15 minutes	\$22.00
90862-HE	Medical Assessment & Treatment	52 units/year 6 units/day unit = 15 minutes	\$52.00
96130-HE	Diag Testing by Psychologist 1 <sup>st</sup> HR	1 units/year	\$114.56
96131-HE	Each Additional HRs	7 units/year	\$87.27
96136-HE	Test Admin and Scoring 1 <sup>st</sup> 30 Mins	1 units/year	\$44.41
96137-HE	Test Admin and Scoring Add 30 Mins	1 units/year	\$40.99
96130-HE	Diag Testing by Technician	1 unit = 1 hour	\$114.56
96131-HE	Each Additional HRs	7 units/year	\$87.27
96136-HE	Test Admin and Scoring 1 <sup>st</sup> 30 Mins	1 units/year	\$34.50
96137-HE	Test Admin and Scoring Add 30 Mins	1 units/year	\$34.50
96146-HE	Diag Testing by Computer		\$1.78

Billing Code	Service Description	Maximum Units	Unit Rate
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90832-HE	Individual Counseling - 30 (16-37)min	52 units/year	\$62.41
90834-HE	Individual Counseling - 45 (38-52)min	1 units/day	\$82.97
90837-HE	Individual Counseling - 60 (53+)min	unit = 1	\$124.73
90846-HE	Fam C/tx w/o child	104 units/year	\$100.59
90847-HE	Fam C/tx w/ch. present	3 units/day	\$104.17
90849-HE	Multi-fam group C/tx.	unit = 30 minutes	\$32.57
90853-HE	Group C/Treatment	104 units/year 3 units/day unit = 30 minutes	\$25.05
H2012-HA	Child/Adolescent Day Treatment	1040 units/year 4 units/day unit = 1 hour	\$20.00
90772-HE	Medication Admin Injectable	365 units/year 1 unit/day	\$23.12
H0033-HE	Oral	unit = episode	\$14.00
H0034	Medication Monitoring	52 units/year 2 units/day unit = 15 minutes	\$22.00
H2011	Crisis Intervention	12 units/day 4380 units/year unit = 15 minutes	\$22.00
H0002-HE	Prehospitalization Screening	16 units/year 4 units/day unit = 30 minutes	\$44.00

## APPENDIX H: STATEWIDE ACCOUNTS

### Statewide Accounts Descriptions-Public General

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#### CHILD SUPPORT INCENTIVE--SW10000

Classification of funds: Public General

Source of funds: State DHR

Frequency of receipt: State DHR no longer sending funds to county DHRs, effective FY 1997

Use of funds:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge object code **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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#### MEDICAID WAIVER INCENTIVE--SW110000

Classification of funds: Public General

Source of funds: State DHR

Frequency of receipt: State DHR no longer sending funds to county DHRs, effective FY 1989

Use of funds:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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#### INTEREST EARNED--SW120000

Classification of funds: Public General

Source of funds: Local Funds' bank account

Frequency of receipt: Monthly credit from bank

Use of funds:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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## **Statewide Accounts Descriptions-Public General**

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### **DISHONORED CHECK FEES--SW125000**

Classification of funds: Public General

Source of funds: Clients, other individuals, and employers (child support)

Frequency of receipt: Whenever a check is returned by bank for insufficient funds (NSF) or other reasons and the client or company pays the \$30.00 fee.

Use of funds:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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### **COUNTY COMMISSION APPROPRIATION--SW130000**

Classification of funds: Public General

Source of funds: Local County Commission

Frequency of receipt: Monthly, quarterly, bi-annual, or annually

Use of funds:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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### **CITY GOVERNMENT APPROPRIATION--SW131000**

Classification of funds: Public General

Source of funds: Local City Government

Frequency of receipt: Monthly, quarterly, bi-annual, or annually

Use of funds:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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## Statewide Accounts Descriptions-Public General, Public Earmarked

### CHILD SUPPORT INTEREST--SW150000

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Classification of funds: Public General

Source of funds: Interest earned on the child support checking account is sent to the State DHR. The State DHR then reimburses the county DHR 34% (the State share) of these funds.

Frequency of receipt: Bi-annual or annually

Use of funds:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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### CLIENT SERVICES ALLOTMENT--SW200000

Classification of funds: Public Earmarked

Source of funds: Appropriated to State DHR from the State Legislature and distributed to county DHRs according to latest census. County populations greater than 50,000 receive \$3,500 and populations less than 50,000 receive \$2,000.

Frequency of receipt: Annually, usually July or August

Use of funds:

1. The intent of the State Legislature is that: "These funds should be used for supplemental client services not otherwise provided for through existing DHR programs."
2. These funds must be utilized **only** for client-related needs, such as food, shelter, or clothes and **cannot** be utilized for administrative or agency expenses. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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### ADULT PROTECTIVE SERVICES FUNDS--SW210000

Classification of funds: Public Earmarked

Source of funds: State DHR

Frequency of receipt: Quarterly

Use of funds:

1. Funds are used to prevent or remedy abuse, neglect or exploitation.
2. Specific needs may include uncovered medical expenses, services, household maintenance, transportation, shelter, and other special needs. Charge **only** regular (6xxx) object codes.
3. Any disbursements over \$500 require approval from the APS Consultant.

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## Statewide Accounts Descriptions-Public Earmarked

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### COUNTY ILP PROJECT--SW213000

Classification of funds: Public Earmarked

Source of funds: The Foster Care Independence Act established the John Chaffee Foster Care Independence Program. The State DHR receives an amount of federal funds each year and distributes certain amounts to county DHRs based on their request for funding.

Frequency of receipt: Varies

Use of funds:

1. The funds are used to provide education, services, and training to current and some former foster youth. All services are to be provided only to achieve one of the following outcomes: Educational financial assistance, Academic support. Post-secondary educational support, Career preparation, Employment programs or vocational training, Independent living needs assessment, Budget and financial management, Supervised independent living, Housing education and home management training, Room and board financial assistance, Family support and healthy marriage education, Mentoring, and Health education and risk prevention.
2. All client-related expenditures from this account **must** be charged to objects 6011 through 6017. Use 6008 for ILP supplies and food for meetings. **Do not** charge any EA (7xxx) or Medicaid (8xxx) object codes. Also, do not charge any of the preceding objects to any other account, such as Flex Funds.

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### CJA MINI-GRANT--SW22x000 (account # changes each year)

Classification of funds: Public Earmarked

Source of funds: State DHR

Frequency of receipt: Varies

Use of funds: County DHRs must submit an application to the Children's Justice Task Force for these funds. Funds are used for administrative expenses including cameras and printers and in-county training workshops and training/interview aides such as videotapes, books and pamphlets. Charge all expenditures to object **6008**. These funds must be spent or encumbered by August 31 of each year. Any funds not expended or encumbered **must** be returned to SDHR by August 31 of each year.

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## Statewide Accounts Descriptions- Public Earmarked

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### UTILITY DEPOSITS GUARANTEE--SW238000

Classification of funds: Public Earmarked

Source of funds: Various Local Funds accounts

Frequency of receipt: Varies

Use of funds: Some utility companies will accept a "Letter of Guarantee" from the county DHR. This letter will guarantee an amount up to or equal to the required deposit. No check would have to be written for the deposit. However, when and if the client terminates service without paying the final bill, then the county DHR would be liable for the final bill for an amount up to or equal the deposit amount. When the guarantee for a client has been completed, the Finance Officer will transfer, on a C5 document, the amount of the deposit from the subledger account you would have paid the deposit, into this account. The total amount of the letters on file in the Finance Office must equal the balance in this account. The guarantee should be cancelled after 24 months and the amount transferred back to its original account.

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### FLEX FUNDS--SW240000

Classification of funds: Public Earmarked

Source of funds: State DHR

Frequency of receipt: Monthly, around the 2<sup>nd</sup> week of the month

Use of funds: Limited to specific client goals and/or needs, such as:

1. Assuring safety and the protection of children from abuse and neglect.
2. Achieving timely permanency for children. Services appropriate to this goal would include those targeted for placement prevention, assistance for relative caregivers, reunification, adoption, and stability and independence in a long-term specified out-of-home placement. Counseling, emergency financial assistance or a range of in-home services may be needed.
3. Assuring the well being of children and families who are served by the Department. Services related to the physical, emotional, and educational well being of children and their families are appropriate. In order to support the development of children and promote their well being, services responding to a broader array of developmental needs may be required, such as tutoring, occupational therapy, counseling, behavior management respite or specialized educational and medical interventions. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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## Statewide Accounts Descriptions- Public Earmarked

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### EFSP FUNDS--SW250000

Classification of funds: Public Earmarked

Source of funds: Federal Emergency Food and Shelter Program Grant-Administered by Local United Way

Frequency of receipt: Usually twice a year by direct deposit

Use of funds: Used for clients' food, shelter, and/or utilities in accordance with DHR policies and the Federal Emergency Food and Shelter Grant policies. **Cannot** charge EA (7xxx) or Medicaid (8xxx) objects.

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### COUNTY COMMISSION APPROPRIATION--SW260000

Classification of funds: Public Earmarked

Source of funds: Local County Commission

Frequency of receipt: Monthly, quarterly, bi-annual, or annually, depending on county commission

Use of funds: The local county commission can designate funds to be used for either/or:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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### CITY GOVERNMENT APPROPRIATION--SW261000

Classification of funds: Public Earmarked

Source of funds: Local City Government

Frequency of receipt: Monthly, quarterly, bi-annual, or annually, depending on local city government

Use of funds: The local city government can designate funds to be used for either/or:

1. Administrative (agency) expenses, such as office supplies, equipment, notary renewals, membership dues to child support association. Charge **6008** for all agency expenses.
2. Client-related expenses, such as clothes, food, rent. Charge appropriate objects listed in this manual, page 20-82. Can charge EA (7xxx) or Medicaid (8xxx) objects, if applicable.

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## Statewide Accounts Descriptions- Public Earmarked

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### MULTI-NEEDS CHILD FUND--SW270000

Classification of funds: Public Earmarked

Source of funds: State DHR-Receives funding from the Children First Fund

Frequency of receipt: Usually quarterly

Use of funds:

1. Services include, but are not limited to, behavioral aide services, in-home intervention, respite services, residential services, and outpatient mental health treatment services not available through member agency providers.
2. These funds **cannot** be used for clothing, supplies, medical costs, prosthetic devices (glasses, hearing aids, braces), birthday/holiday gifts, hygiene products (including haircuts), electricity/water/telephone costs, day care services, allowances, transportation costs, household needs, food, rent/mortgage payments, inpatient services, or any administrative purposes (staff training, office supplies, equipment, etc.). See memos in this Manual, pages 20-69 through 20-73 for detailed policy.
3. **Must** charge **6100** for all expenditures for children and charge **6008** when unused funds are returned to SDHR.
4. The time frame for expenditures from these funds is until August 31 of each fiscal year. Any funds not spent or encumbered for each fiscal year **must** be returned to the State DHR Finance Division no later than August 31 of each fiscal year.

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### WELFARE REFORM (JOBS)--SW280000

Classification of funds: Public Earmarked

Source of funds: State DHR-Receives funding from TANF block grant

Frequency of receipt: Funds are drawn down by a letter of request to the Family Assistance Division, usually quarterly.

Use of funds:

1. Generally, if the client has an open JOBS case and FACETS edits allow, the expense should be authorized and paid/reimbursed through FACETS. Otherwise, the expense may be paid through this account. All payments **must** be directly related to employment and/or authorized training. Payments may be made to vendors for job assessment, transportation, job placement, various supportive goods and services. Reimbursement may be made to JOBS clients for various supportive goods and services. See JOBS Policy Manual, Section 600, for additional policies, procedures, and examples of allowable and unallowable expenditures.
2. **Cannot** charge EA (7xxx) objects or Medicaid (8xxx) objects.

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## Statewide Accounts Descriptions- Public Earmarked

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### WR/KINSHARE PROGRAM--SW281000

- Classification of funds: Public Earmarked
- Source of funds: State DHR-Receives funding from TANF block grant
- Frequency of receipt: Funds are drawn down by a letter of request to the Family Assistance Division, usually 2 to 3 times a year.
- Use of funds:
1. This program provides services to relatives at or below 200% of poverty who are caring for a related child in their homes. Generally, if the client has an open JOBS, PA, or child welfare case and FACETS edits allow, the expense should be authorized and paid/reimbursed through FACETS. Otherwise, the expense may be paid through this account. Payments for various supportive services, either directly to a vendor or reimbursement to a related caretaker may be made. See Kinship Care Program Policy Manual, Section IV, for additional policies, procedures, and examples of allowable and unallowable expenditures.
  2. **Cannot** charge EA (7xxx) objects or Medicaid (8xxx) objects.
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### BIRTHDAY GIFT CARD FUND--SW290000

- Classification of funds: Public Earmarked
- Source of funds: State DHR
- Frequency of receipt: Quarterly
- Use of funds:
1. These funds will be used to purchase a \$25 birthday gift card for each foster child who is currently in care with a birthday in a particular month.
  2. An exception was granted by the Commissioner to allow county departments to purchase gift cards **from this account** and this account only.
  3. All expenditures will be charged to Gifts (**6123**).
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## Statewide Accounts Descriptions- Public Earmarked

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### ADOPTION INCENTIVE FUNDS--SW291000

- Classification of funds: Public Earmarked
- Source of funds: State DHR—Received funds from a Federal grant
- Frequency of receipt: One-time allotments were sent to counties during December 2010, based on finalized adoptions in 2009
- Use of funds:
1. Used to enhance the county’s ability to move children to permanency through adoption. This would include staff training around adoption issues, equipment/materials to support adoption work, recruitment activities, and certain services or items that would support adoptive families.
  2. Funds must be expended by July 31, 2012.
  3. Charge all expenditures to object **6008**.
- 

### FOSTER CARE TRUST FUND--SW295000

- Classification of funds: Public Earmarked
- Source of funds: State DHR
- Frequency of receipt: Funding requests for a specific child are made to the Office of Financial Resources Management in the Family Services Division
- Use of funds:
1. Used to meet the specific needs of individual children, as identified through the ISP process, that cannot be met by private funds or public (local) funds, board payment, or ILP funds. Such needs may relate to education, development of artistic or athletic abilities, or special occasion items/activities.
  2. Any funds or part of funds that are not used for the purpose that they were requested **must be immediately returned** to the Office of Financial Resources Management, Attention-Foster Care Trust Fund, with a copy of the original request.
  3. Can charge EA (7xxx) objects.
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## APPENDIX I: PROJECT MANAGEMENT SUMMARY

PROJECT MANAGEMENT DELIVERABLES						
Task#	Task Name	Date Completed	Vender Initials	Date Reviewed	SDHR Initials	Go/NO GO
1	<b>Project Coordination (Due NLT 30 Days after project initiation)</b>					GO
1.1	<b>Project Initiation</b>					
	Project Work Plan					
	Project Schedule					
	Project Staffing Plan					
	Project Risk Management Plan					
	Assessing Project Risks					
	Mitigation Strategies					
	Establish Cloud-Based EAS Team					
1.2	<b>Conduct Ongoing Project Management</b>					
	Weekly Work Plan/Schedule Updates					
	Weekly Work Plan/Schedule Updates					
	Weekly Status Report					
2	<b>Requirement Determination</b>					
2.1	<b>Existing Requirements Validation</b>					
	Requirements Document					
	Business Process Workflows					
	Requirements Traceability Matrix					
2.2	<b>Base System Gap Analysis (If Applicable)</b>					
	Revised Requirements Traceability Matrix					
	Base System Gap Analysis					
	Base System to Cloud-Based EAS Transition Plan					
2.3	<b>Develop Application Strategy</b>					
2.4	<b>Update Disaster Recovery Plan</b>					
2.5	<b>Security Architecture</b>					
	Security Plan					
	Security Risk Assessment					
	Security Control Plan					
	Revised Requirements Traceability Matrix					
	Security Evaluation/Test Procedures and Results					

3	Integration, Load, and Acceptance Testing					
3.1	Prepare for Testing					
	Master Test Plan					
	Integration Test Plans					
	Load/Performance Test Plans					
	Pre-Acceptance Test Plans					
	Error-Reporting and Resolution Process					
	Test Environment					
3.2	Conduct Acceptance Test (State-Led)					
	Acceptance Test Plan (State)					
	Acceptance Test Results (State)					
	Cloud-Based EAS Modification Plan					
	Updated Requirements Traceability Matrix					
3.3	Certify the System as Ready for Pilot					
	Testing Certification					
	Testing Summary					
	Testing Recommendation					
3.4	Prepare for General Rollout					
	Revised Training Plan					
	Revised User, Training, and System Documentation					
	General Rollout Support and Operations Plan					
	General Rollout Implementation Plan					
3.5	Implementation					
	Modified Statewide operational Cloud-Based EAS system					
	Implementation Report					
	Ongoing statewide implementation support					

<b>4</b>	<b>Documentation, Training, and Transition Prep</b>					
<b>4.1</b>	<b>Develop Training</b>					
	Approach to training					
	Training Curriculum					
	Training Material					
	Self-directed training					
	computer-based modules and User Guide					
	Proposed schedule for implementation of pilot and statewide training					
<b>4.2</b>	<b>Create/Modify User Documentation and Online Help</b>					
	User Manual					
	Desktop Guide					
	Online help system					
<b>4.3</b>	<b>Deliver End-User Training</b>					
	Finalized Training Schedule/Plan					
	Training Materials/Curriculum					
	Training Completion Summary					
<b>4.4</b>	<b>Technical Documentation and Training</b>					
	Cloud-Based EAS hardware, software, database and infrastructure systems					
	Revised Operational Procedures					
	Fully trained DHR ISD staff					
<b>5</b>	<b>Support and Maintain New System</b>					
<b>5.1</b>	<b>Warranty</b>					
	Vendor-led System Warranty					
	Data from defect tracking system					
	Documentation of database changes					
	Documentation of all system components					
	Formal handover of system maintenance and operations duties					
<b>5.2</b>	<b>System Maintenance</b>					
<b>5.3</b>	<b>Number and type of resources for System Modifications</b>					
<b>5.4</b>	<b>Establish Help Desk</b>					
	Operational Help Desk					
	Help Desk Facilities					
	Help Desk/Problem Management Software or System					
	Help Desk Process and Procedure Manuals					
	Converted Help Desk Tracking Data					

**APPENDIX J: IMMIGRATION STATUS FORM**

**IMMIGRATION STATUS**

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.